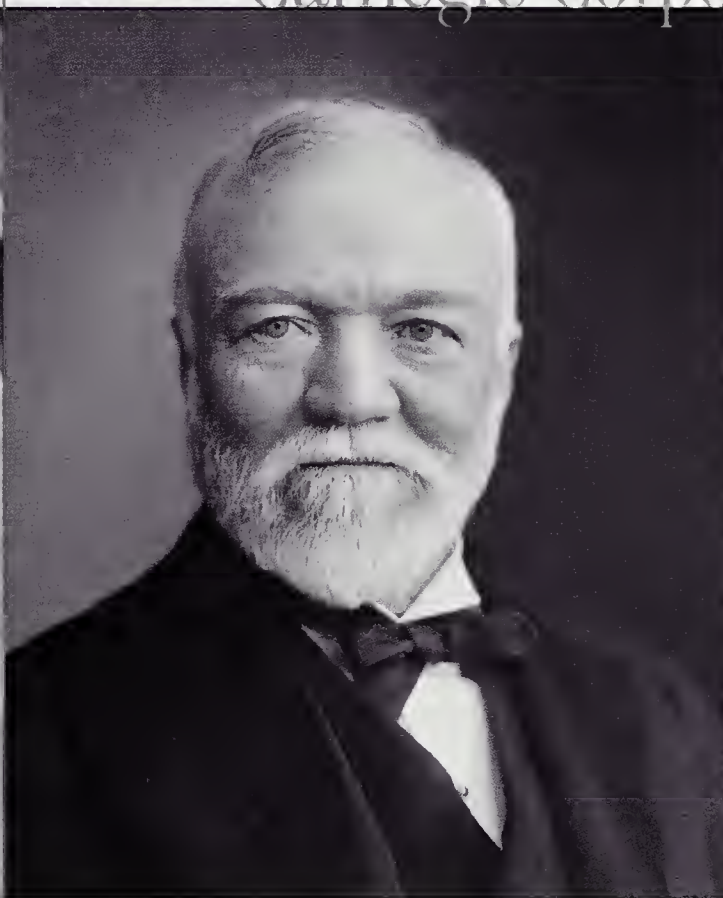


# Carnegie Corporation of New York





ANNUAL REPORT 2004-2005

# Carnegie Corporation of New York

Carnegie Corporation of New York was created by Andrew Carnegie in 1911 to promote “the advancement and diffusion of knowledge and understanding.” Under Carnegie’s will, grants must benefit the people of the United States, although up to 7.4 percent of the funds may be used for the same purpose in countries that are or have been members of the British Commonwealth, with a current emphasis on sub-Saharan Africa. As a grantmaking foundation, the Corporation seeks to carry out Carnegie’s vision of philanthropy, which he said should aim “to do real and permanent good in this world.”



# Contents

REPORT OF THE PRESIDENT	1
<i>Reflections on Encounters With Three Cultures</i>	
2004 REPORT ON PROGRAM	1
<i>Ongoing Evaluation Enhances the Corporation's Grantmaking Strategies in 2004</i>	
Grants and Dissemination Awards	
Education	
International Development	
International Peace and Security	
Strengthening U.S. Democracy	
Special Opportunities Fund	
Carnegie Scholars	
Dissemination	
Anonymous \$15 Million in Grants to Cultural and Social Service Institutions in New York City	
2004 REPORT ON FINANCES	77
<i>Financial Highlights</i>	
2004 REPORT ON ADMINISTRATION	91
<i>Fiscal 2004: The Year in Review</i>	
2005 REPORT ON PROGRAM	97
<i>Key Programs Meet the Challenges of Maturity in 2005</i>	
Grants and Dissemination Awards	
Education	
International Development	
International Peace and Security	
Strengthening U.S. Democracy	
Special Opportunities Fund	
Initiatives Fund	
Carnegie Scholars	
Dissemination	
Anonymous \$20 Million in Grants to Cultural and Social Service Institutions in New York City	
2005 REPORT ON FINANCES	177
<i>Financial Highlights</i>	
2005 REPORT ON ADMINISTRATION	191
<i>Fiscal 2005: The Year in Review</i>	
2004-2005 REPORT ON INVESTMENTS	197
<i>Corporation Portfolio Exceeds \$2.2 Billion, Highest Valuation In Its History</i>	
TRUSTEES	203
STAFF	207
INDEX	211



ANNUAL REPORT 2004-2005

Report of the President

Vahter Gregor

## Reflections on Encounters With Three Cultures

by Vartan Gregorian

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### Introduction

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1764, 1895 and 1911. Those dates represent quite a span of time. The first is the year that Brown University was founded; the second is the year that The New York Public Library was established and the third is the year that Andrew Carnegie created the philanthropic foundation he named Carnegie Corporation of New York.

It has been my privilege to serve the three above-named institutions, each representative of a different nonprofit culture, each with a different structure, different history, and different dynamics. While serving these institutions I have been both an observer and a participant, a spectator and an actor, a reader and a lender, a re-

ceiver and a giver—and every step of the way has made for an exhilarating and inspiring journey.

At first as a foreign student, then as an immigrant, then as a citizen who was born and raised in Iran and spent his secondary school years in Lebanon, I was always keenly aware of being an outsider, even though, over time, I gradually became an “insider,” too. During the past fifty years, since I attended Stanford University as a freshman, I have always been interested not only in the outward, visible structure of organizations, but also their texture, their idiosyncrasies, and their individual institutional cultures. Furthermore, my career has been such that I have seen institutions both from below and above, from the trenches to the helm, which allowed me to observe not only their individual segments but also to un-



derstand how all the parts fit together to form their whole structure and support their overall mission. In writing this essay, it is my intention to share my observations, and to reflect on and analyze the nature of the three cultures in which I have spent my career: libraries, the academy, and the field of philanthropy. These reflections are based primarily on my experiences as the head of The New York Public Library, Brown University and now, Carnegie Corporation of New York. I hope that some of my observations as an outsider/insider will provide useful insights and the kind of first-hand knowledge that may assist those who have taken or will take similar journeys especially now, when the role of nonprofits is so essential to the advancement of progress in our nation's social, cultural, and economic domains and when the role of foundations, in particular, seems to be in the national spotlight.

Naturally, I have not drawn my observations exclusively from the three institutions that I have headed. I have also relied on my previous experiences and impressions during the years that I was a professor at San Francisco State College, the University of California at Los Angeles, the University of Texas at Austin, and the University of Pennsylvania. However, I have organized this essay along chronological lines, from my time at that most iconic of American libraries, The New York Public Library, followed by Brown University. Finally, I will examine the nature and scope of philanthropy in the United States as seen through the lens of Carnegie Corporation of New York, which I joined as president in 1997.

The experiences and knowledge I have acquired at each institution have had an impact on my experiences at the next. While each is different from the others, they do have common traits, common problems, and they often confront common issues. Perhaps their most

important commonality, though, is that all were founded to serve our society and our democracy, and all remain dedicated to that purpose.

Synthesizing what I have observed and learned over decades of service in three different cultures provides a major challenge. Hence, though I cannot promise to be brief, I will do my best to be thorough.



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## The New York Public Library

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One's opening lines are always indicative of what one thinks of the character of an institution. For me, The New York Public Library is much more than a cultural institution; I consider libraries to be among the central educational resources of any civilization, including ours, which is why, in 1981, when I first addressed the staff of the Library as their new president,<sup>1</sup> I called them "my fellow educators." Walking into the Library that morning I had

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<sup>1</sup> Vartan Gregorian served as president of The New York Public Library from 1981 to 1989.

thought about the important role that libraries had played in my life and about my respect for librarians, not simply as keepers of books and collections of materials but as true disseminators—even champions—of knowledge. Along with teachers and other public servants, they are modest, unsung civic heroes, who day after day, year after year, answer questions, provide guidance along the pathways of research and literature, and catalogue, organize and analyze information, turning what might seem like ordinary tasks into something sublime.

I have always been in awe of libraries and have been in love with books since I was a child. Later, I became a regular habitué of bookstores particularly those that sell used books, an addiction that I know I share with many people around the world for whom prowling the aisles of a used bookstore is something close to going on a great treasure hunt.

When I arrived at The New York Public Library from the University of Pennsylvania, where I had served in both academic and administrative positions from 1972 until 1981, I was no stranger to libraries. After all, as an undergraduate and graduate student at Stanford University, I had more or less lived in the library as I pursued my education, which focused on history and the humanities. In subsequent years, as my interests widened to include fields such as European intellectual history, the history of the Middle East and of the modern Caucasus, not to mention Afghanistan, my appreciation for the scope, range and richness of library collections grew. When I became dean of the Faculty of Arts and Sciences at the University of Pennsylvania, the university libraries became a much-beloved responsibility for me, as my concern was not only the quality and breadth of material and services they offered but ensuring their future, as well.

As to the many subjects I studied over the years, while I felt that I was caught between dilettantism and expertise, my unwavering interest in each and all of them made libraries a natural habitat for someone like me. The New York Public Library provided a nearly perfect home replete with seemingly endless opportunities to satisfy my intellectual curiosity. At the same time, I came to appreciate the obvious differences between the world of the university, which I had just left, and the world of libraries. To begin with, no one can graduate from a library. There are no entrance or exit exams. Individuals come and go, doing their work, their research, or just reading for pleasure. It was fascinating for me to walk through the Library and see all the different individuals who used the different collections—it was like having a window onto a true microcosm of humanity. People of different ages, genders, races, appearance and dress took up almost every chair in the Library or were bent over a book, a document or other material at almost every table.

Unlike universities, whose constituents are finite, The New York Public Library's constituents were, potentially, everybody. The Library did not have any specific or particular groups or individuals as its clientele: those who used the Library's facilities were an ever-changing cross-section of humanity who came from the city, from all across the country as well as from many foreign nations. In that connection, one of the many features of the Research Library that I found extraordinary was that one did not have to produce scholarly credentials, identification, or show citizenship status in order to read a book or an article, or see a photograph or some other item. It was anyone's right to look at and learn from the Library's materials. Even noncitizens had this same right because, when you walked into the Library, nobody asked your status in terms of American citizen-

ship, occupation, or residency. Just the fact that you showed up at the front door gave you the right to use the Library and all its resources and connections to the rest of the world.

The Library universalized everybody. By that I mean it served as a bridge between the individual and anything they wanted or needed to know about anything under the sun—or beyond it—that human beings had written, dreamed of or speculated about. I thought about that notion even more than I had in the past after the Library's card catalogue was computerized because I realized, then, that whether a person was in the Main Research Library on 42<sup>nd</sup> Street or at any local branch library, they could look for material in any one of the many different collections throughout the system and find it with ease. In fact, computerization allowed someone in search of information to peruse not only the Library's research collections (which today number more than 40 million items including books, maps, audio recordings, films, videotapes, CDs, DVDs, sheet music, prints, clippings and materials for the blind<sup>2</sup>) but also to gain access to the collections of other libraries across the globe. In many ways, the Library enabled those who used it to transcend the limitations of shelves and walls, of geography, of even space and time. It served as a bridge to the whole world, and provided a link to the past and a pathway to the future.

I was curious about the historical role and legacy of the library and was delighted to learn such interesting vignettes as the fact that, in their youth, the actor James Cagney, former New York Community Trust president Herbert B. West and novelist Cynthia Ozick all served as Library pages. They were paid very little but the value of their exposure to the vast

resources of the Library far outweighed their meager pay. When he was young, the late New York Senator Daniel Patrick Moynihan spent his Saturday afternoons shining shoes on 42<sup>nd</sup> Street and afterwards, would make his way to the Library's Main Reading Room. "It was the first time I was taught that I was welcome in a place of education and learning," he said. "I would go into that great marble palace and I would check my shoeshine box. A gentleman in a brown cotton jacket would take it as if I'd passed over an umbrella and a bowler hat."<sup>3</sup>

Because the Library had so many grateful beneficiaries, I knew we did not have to rely only on our talented public affairs and development officers to tell the Library's story. Others did. Individuals such as Senator Moynihan told it for us, and told it frequently, to all kinds of audiences. From time to time, though, I did hear particularly special or unusual tales about how the Library had influenced lives and events. For instance, early in the twentieth century, Pan American Airways sent researchers to the Library to help seek out routes to the Far East. Edwin Land did scientific research leading to his invention of instant photography in what is now The New York Public Library's Science, Industry and Business Division. Law firms were heavy users of the Patents and Trademarks collection, one of the largest in the United States. The Library's famous picture collection (which today includes an online database of over 30,000 images from books, magazines and newspapers as well as 450,000 digitized images from primary sources and printed rarities including illuminated manuscripts, historical maps, vintage posters, rare prints and photographs, illustrated books and printed ephemera), was, and is still extensively used by those in the advertising, fashion and

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2 The New York Public Library, Systemwide Statistics, [www.nypl.org/pr/objects/pdf/2003nyplfacts.pdf](http://www.nypl.org/pr/objects/pdf/2003nyplfacts.pdf).

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3 "The 'People's Library' to Celebrate as a Cathedral of Knowledge for All," *The New York Times*, May 19, 1986.

design fields, not to mention architects, interior decorators and others. Notable users included the actress Grace Kelly, who read about Victorian furniture, and Norbert Pearlroth, who did much of the research for Robert Ripley's syndicated *Believe It or Not* newspaper series.<sup>4,5</sup> Even Leon Trotsky spent some time at the Library during the few months in 1917 that he lived in New York City.

What also struck me as being particularly unique about the Library was that, as one of the cultural and intellectual centers of New York, it helped the city serve as the "capital" of many diasporas. I was, for example, astonished to find out that New York had around 300 ethnic publications that serve a tapestry of ethnic communities which, in turn, serve as bridges to their countries of origin. The city's great library is itself an embodiment of all the diasporas that have brought people of every race and ethnic and national origin to our country. It is a microcosm of America in all its diversity, and its holdings reflect that fact. It is also a reflection of the city's cycling waves of immigration. One can imagine, for instance, that a demographer studying the city's population shifts over the past hundred years might look through the lens of The New York Public Library system, particularly its local branches, and find out how German-language materials were gradually replaced on the shelves by books, magazines and newspapers in a variety of East European languages and then by a plethora of media representing a veritable explosion of languages including Greek, Chinese, Vietnamese, Spanish, Hindi, Russian, Japanese, Arabic, etc. For immigrants, libraries

<sup>4</sup> *ibid.*

<sup>5</sup> "[Pearlroth] usually worked ten hours a day, six days a week in the Library's Main Reading Room. It was estimated by The New York Public Library that Pearlroth examined some 7,000 books every year, meaning that he researched in more than 350,000 books during decades of work on *Believe It or Not!*" Source: [http://en.wikipedia.org/wiki/Norbert\\_Pearlroth](http://en.wikipedia.org/wiki/Norbert_Pearlroth).

can represent both an anchor to the country and the culture they left behind and their first stable footing in their new land.

Let me illustrate this point by using as an example The New York Public Library's Dorot Jewish Division, a major collection that I found to be an extraordinarily "ecumenical" place where orthodox, conservative, reform, radical and atheist Jews—and even non-Jews—met, forgetting their differences because they were in the presence of a common cultural heritage. Over the years, the Dorot Division has also served some notable readers and researchers: Bob Dylan used the Jewish division to explore possible Jewish origins of Indians in the Southwestern United States. In the early part of the century, when the library was home to immigrant scholars and writers, Isaac Bashevis Singer read Yiddish and Hebrew books there for his weekly column for the *Jewish Daily Forward*.<sup>6</sup>

The same intensity of work, research and study could be found in many other parts of the Library, such as the Asian and Middle Eastern Division and the Slavic and Baltic Division, where a multitude of scholars from different ethnic backgrounds, with different ideologies and outlooks, poured over precious documents, intent on deciphering secrets about ancient military conflicts, resolving literary questions, retracing the progress of the Bolshevik Revolution, investigating the Stalinist period, the Russian avant-garde movement and Cold War intrigues. Peeking into these rooms, one saw great concentration on the face of every person, each one studying the special book, article or letter that would solve some mystery for them, prove a point or just satisfy their curiosity. In these rooms, one also felt the immeasurable depth and presence of human

<sup>6</sup> *op. cit.* "The 'People's Library'."

history in all its variations and dimensions, and with all its tragedies, triumphs and mysteries.

Another arm of the Library that was—and remains—a great source of pride to both the city and the Library is the Schomburg Center for Research in Black Culture, a national research library devoted to collecting, preserving and providing access to resources documenting the experiences of peoples of African descent throughout the world. The Center's original materials came from the personal collection of the distinguished Puerto Rican-born black scholar and bibliophile, Arturo Alfonso Schomburg. In 1926, the Schomburg Center gained international prominence when its resources were combined with the Division of Negro Literature, History and Prints, which opened on January 14, 1905, in a library building on 135<sup>th</sup> Street in Manhattan, constructed with funds donated by Andrew Carnegie. (In 1951, the branch library, now on 136<sup>th</sup> Street, was renamed for poet Countee Cullen, an important figure of the Harlem Renaissance.) Today, the Schomburg Center contains over 5,000,000 items and provides services and programs for constituents from the United States and abroad.

But of course the Library is more than the sum of its magnificent parts: it is also a living, breathing institution, always busy, always working, always alive. For me, one exciting bonus that came with being at the Library was meeting people I had only read or heard about, particularly writers. The Library had special rooms for writers, such as the Wertheim Study and the Frederick Lewis Allen Room, an intimate, book-lined sanctuary that has provided workspace for writers such as Robert Caro, who wrote much of *The Power Broker*<sup>7</sup> there. "I am only one of a thousand—or ten

thousand—writers for whom the Library has always been there when we needed it," Caro has said.<sup>8</sup> Many other writers have also noted their debt to The New York Public Library: E. L. Doctorow, Norman Mailer, Isaac Bashevis Singer, Elizabeth Bishop, Barbara Tuchman, Rachel Carson, Arthur Schlesinger, John Updike, Betty Friedan, Theodore H. White, and Mary Gordon who said, "It's like walking into a cathedral... It's a place that represents peace and security. It reminds me that what I do in the world is a valuable and important thing to do." Alfred Kazin, who researched his first book there in the 1930s, immortalized the Library in his book, *New York Jew*.<sup>9</sup> "Whenever I was free to read," he wrote, "the great library seemed free to receive me."<sup>10</sup>

The Library also welcomed academics of all stripes, including independent scholars and eminent professors from all over the world, as well as the vast spectrum of colleges and universities in the New York metropolitan area. One special relationship in this category is with the Graduate Center of the City University of New York, which houses the elite Ph.D. programs of the entire City University system. It was originally located right across the street on Fifth Avenue so that The New York Public Library could serve as its library.<sup>11</sup>

For me, as well as for everyone else working in the Library, it was exhilarating to see the multitude of users coming through the doors and the level of activity taking place in every room, on every floor during every hour that the Library was open. So much learning, so much education, so much knowledge and scholarship being absorbed, created, and

8 <http://www.nypl.org/university/storyexcerpts.html>

9 Knopf, 1978.

10 *op. cit.* "The 'People's Library'."

11 In 1999, the Graduate Center moved to the landmark building that was the site of the former B. Altman department store on 34<sup>th</sup> Street and Fifth Avenue in Manhattan.

7 *The Power Broker: Robert Moses and the Fall of New York* (Knopf, 1974).

passed along. One felt a tremendous responsibility to the institution and to those who used and loved it—as well as to those who were yet to discover the richness of the resources within its walls—but also saw great opportunities to be a “good ancestor” to those who would follow after by strengthening the Library and increasing its ability to serve the citizens of the city and the nation, as well.

### A Democratic Institution

From the first day I walked into the Library as its president, it was clear to me that the 42<sup>nd</sup> Street building was not just a repository of books and collections but that its history,<sup>12</sup> its purpose, the way it operated and the diverse populations it served all went into endowing it with the majesty of a great civic monument that was a living, working symbol of American democracy. The Library bore witness to the openness of our nation, of New York, and of our society. It was, and always had been, a place where the social elite and the general populace met as equals and had equal access to the treasures within. In the presence of the Library’s vast storehouse of knowledge, all could be equally humbled by what they did not know and equally elevated by what they could learn—and everything they could learn was theirs, for free.

Institutions such as The New York Public Library, however, are only free because people have decided to subsidize the library’s operations by contributing to it as taxpayers and as individual benefactors. But even if costs are met one year, they are sure to rise the next,

<sup>12</sup> In 1895, New York City’s two important, semi-public libraries, the Astor and Lenox libraries, agreed to join with the Tilden Trust, which had been bequeathed money by the once-governor of New York, Samuel J. Tilden (1814-1886), to “establish and maintain a free library and reading room in the city of New York,” to form a new entity that would be known as The New York Public Library. The cornerstone for the new library was laid in 1902.

so new ways of generating funding for the Library was a constant challenge. Many innovations, including all the new technologies that were implemented at the Library, certainly enhanced service to the institution’s users but did not save money. In fact, they usually increased costs because they required new staff expertise, new technicians, new computer hardware and other equipment, new software, etc. And it wasn’t just the four research centers in Manhattan<sup>13</sup> that had to be supported but also the 85 branches in the Bronx, Manhattan and Staten Island. (New York City’s other boroughs, Queens and Brooklyn, each have separate library systems.)

Each of the research centers and all of the branches were always striving to serve not only their “regular” users but also new ones who came through the doors every day, which meant that while the Library was still a rich resource for immigrants trying to bridge the gap between their experiences in the United States and their country of origin, there were now additional newcomers to serve. Different branch libraries in different communities throughout the city found themselves with patrons who had emigrated from such a variety of places as Asia, Africa, Central Europe, Latin America and the many countries and regions that had once been part of the Soviet Union. And because the branch libraries were integral to the community, pivotal to the acculturation process for newcomers, after-school havens for eager students, and lynchpins of local cultural and social events, when people walked through the doors of the libraries in their communities they found much more than books. The libraries provided English-as-a-second-language classes, children’s programs, computer training,

<sup>13</sup> The Humanities and Social Sciences Library; The New York Public Library for the Performing Arts, Dorothy and Lewis B. Cullman Center; the Schomburg Center for Research in Black Culture; and the Science, Industry and Business Library.

as well as introductory courses on genealogy, typing, map reading, stocks and mutual funds, patents and trademarks, and much more. In that connection, it is important to note that for some immigrants who may not have had the opportunity to receive much education in their homeland and were now struggling, as well, to get by in a completely new environment, the Library provided a dignified and respectful place to study. For some people who might be embarrassed to reveal their lack of education, it's easier to say to others that "I'm going to the library," rather than admit the need to go to literacy classes. Particularly for those individuals who personally, or culturally, felt it important to "save face" in this manner, the Library offered a safe haven to learn on their own.

It's important to remember that even today, libraries across the nation continue to play this role. And perhaps their contributions are even more central to acculturation now that our nation is experiencing the largest immigrant and refugee resettlement since the Industrial Revolution. Cities up and down the East and West coasts, across the Great Plains and all across the South—rather than just the gateway cities of the past such as New York and Los Angeles—are the new, nontraditional settling grounds where foreign-born newcomers find jobs, housing, and affordable prices. In each of these places, where both new immigrants and long-time citizens—schoolchildren and adults alike—may not have the ability to buy laptops and home computers or to pay cell phone bills or purchase iPods on which to download news and information, libraries are still the common ground where, as Andrew Carnegie said, democracy and learning intertwine.

In essence, the research libraries and all the circulating branches were the most democratic of institutions, open and available to all who wanted to use them. The libraries were also

constantly seeking new ways to serve their publics—which were, and are, just about everyone. That was among the reasons why, when choosing Trustees for The New York Public Library, the possibilities were endless because serving the Library meant demonstrating appreciation and loyalty not only to the City of New York, but also to the nation as well as to the spirit of democracy.

The Library's Board was made up of people from all walks of life: writers, industrialists, socialites, business leaders, lawyers—all of them serving the Library without pay or any other material reward while also contributing to it financially.

Let me illustrate the uniquely democratic character of both the Library and its Trustees by focusing on three rare and remarkably civic-minded individuals who served on the Library's Board.

Mrs. Brooke Astor, the Library's Board Chair and later, Honorary Chair, was regarded by everyone as the doyenne of New York society. She also provided a living link to the Library's Astor<sup>14</sup>, Tilden and Lenox collections. The sophisticated, determined, gracious and generous Mrs. Astor made the Library not only a fashionable obligation on the part of New York high society but also a noble cause that transcended class and wealth. She set the standard for recognizing that The New York Public Library was not an institution to which one deigned to make charitable contributions but rather that it was a public trust deserving of investment by every philanthropist and philanthropic organization because it encompassed the entire spectrum of culture and education available in our nation. Through her founda-

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<sup>14</sup> The Astor Library, which was merged into the New York Public Library in 1895, was founded by a \$400,000 bequest of John Jacob Astor (1763–1848). See also footnote 12.

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tion, she not only donated more than \$24 million to the Library but got directly involved in other ways, such as visiting the branches, sitting with parents and grandparents and talking to them about their children, reading to children and chatting with the librarians. Just giving money was not enough for her, since *noblesse oblige* was not at all her style of philanthropy. Her philosophy was that she never gave money unless she visited whatever project or institution was the potential recipient and thoroughly acquainted herself with its mission, goals and accomplishments. Participation was essential to Mrs. Astor, as was, in the case of The New York Public Library, making it her personal responsibility to bear witness to its greatness. She was determined to send a message far and wide that the Library and its branches were there to educate, serve and enhance the lives of all individuals striving for wisdom and knowledge, and that they also had a special role to play in the lives of families and their children—those who would be the leaders of tomorrow—and hence, investing in the Library meant investing in the future.

Richard B. Salomon was, to the best of my knowledge, the first Jewish Chairman of the Board in the history of The New York Public Library, serving from 1977 to 1981. Known as “Charles of the Ritz” because he was the former chairman and chief executive of Lanvin-Charles of the Ritz, Inc., he launched many careers including those of Vidal Sassoon and Yves St. Laurent. He was a larger-than-life figure, credited with almost single-handedly “inventing” Madison Avenue in terms of groundbreaking packaging and marketing. In addition to his extraordinary leadership in the business world, he was a man with two great passions: Brown University and The New York Public Library. He loved the Library because it stood as a symbol of citizenship and opportunity

and functioned as a great engine of democracy, personifying America’s dedication to openness, freedom, and a world of opportunity.

Brooke Astor and Richard Salomon were a great combination, but there was a third actor who made this group into a powerful triumvirate working on behalf of the Library, and that was Andrew Heiskell, a giant in the publishing industry. When I first met him, he was the outgoing CEO of Time, Inc., a member of the Harvard Corporation and the incoming chairman of The New York Public Library’s Board of Trustees. Born in Naples, Italy to American expatriate parents, he spent the first twenty years of his life leading a nomadic existence, with his mother and sister, a life that took them from hotel to hotel in Italy, France, Austria, Germany and Switzerland. Though he had occasional tutors, he didn’t go to school until he was ten and he never graduated from college. He knew nothing about America when he arrived here at the age of twenty, at the height of the Depression, but ten years later he had become the publisher of *Life*, the most successful news magazine in the United States. For Andrew, duty, honor, service, country and humanity were permanent values. Unlike Brooke Astor and Richard Salomon, Andrew Heiskell was very outspoken. But what he did have in common with Astor and Salomon was that he cared deeply about The New York Public Library because it represented the freedom to learn, to become educated and to exploit the opportunities that life offers. All three individuals contributed their time, their energy, their imagination, their names and their fortunes to supporting and strengthening the Library.

A fourth leader of the Board soon emerged: Marshall Rose, who spearheaded the renovation of The New York Public Library and transformed the former B. Altman’s department store on Fifth Avenue into the \$100 mil-



lion Science, Industry, and Business Library. In addition, a unique feature of The New York Public Library's Board of Trustees was that the cardinal of the Catholic Archdiocese of New York was an *ex officio* member of the Board. This was because in the early part of the century, The New York Public Library had acquired the libraries of the archdiocese, hence it was customary to have the cardinal on the Board. When I was president of the Library, Terence Cardinal Cook was a Trustee, lending his particular political clout to the Board, as did his successor, John Cardinal O'Connor. There were quite a number of other civic, cultural and business leaders, including representatives of the mayor, the comptroller, and the City Council who also served on the Board on an *ex officio* basis; their devotion to the Library was selfless and their efforts on its behalf boundless.

The New York Public Library also benefited from the professionalism and commitment of the directors, curators, librarians and staff who believed passionately in the institution<sup>15</sup> and from the efforts of the many able administrators in other departments such as Budget, Finance, and Public Affairs. In addition, there were scores of volunteers who worked at the Library with great joy and dedication. But perhaps most of all, it was the support of the public, both in New York itself and across the nation, that gave this great, democratic and constantly evolving institution the chance to face its future with confidence and energy.

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<sup>15</sup> It was my privilege, during my years at the Library, to get to know many great curators and library leaders, such as Lola Szladits, curator of the Henry W. and Albert A. Berg Collection of English and American Literature; David Stam, director of the Research Libraries; Edwin Holmgren, director of the Branch Libraries; and Richard De Gennaro, former librarian of the University of Pennsylvania and later of Harvard University, who served as director of The New York Public Library. The Library also had an extraordinary and imaginative group of development officers led by Gregory Long, perhaps the best and most imaginative development leader I've known, who is now the president of the New York Botanical Garden.

However, when I came to the Library in 1981, its fate did not seem so well assured. In fact, as Andrew Heiskell so bluntly wrote in his book, *Outsider, Insider: An Unlikely Success Story*,<sup>16</sup> "The library was broke"—and it showed.

### Support for "The People's Palace"

With so much goodwill directed toward the Library, why, then, was it in a state of decline in the 1960s and 1970s? Primarily, I think because it had been taken for granted; it was seen as a constant in New York, a fixture, rather than as an institution that had to be invested in as part of securing the city's future. Libraries, arts programs in the schools, the infrastructure of public buildings—these are always among the first targets of cost-savings measures when a city has to balance its budget, notwithstanding the real and often permanent damage this may do, not only to the programs and institutions, but to the people they serve. This was the case in the 1970s when New York City was going through a deep recession. It was shocking, really, and terribly sad to see how far into disrepair the Library had fallen in those years. At the time that I assumed the presidency, there was talk of bankruptcy, of selling some of the Library's collections, closing some branches or charging admission. Hours of operation had been scaled back; dust, grime and decay were winning the battle to destroy the beautiful marble and woodwork; books were being kept out of circulation because there wasn't the manpower to catalogue them; older volumes were crumbling to dust because funding for conservation measures wasn't available. Outside, the building looked shabby and neglected. Bryant Park, directly behind the Library, was a dark and derelict place, particularly unsafe at night. The rich holdings of the Library and the dedication of the librarians,

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<sup>16</sup> Marian-Darien Press, 1998.

their professionalism and their expertise were the main forces keeping the Library an ongoing, viable, central institution.

Our first task at the Library was to reaffirm and highlight the centrality of The New York Public Library in the life of the city and of the nation. The message that the staff and Board and I, along with the Library's many supporters, were eager to get out was that the Library was not begging for help—it *deserved* not only to have its infrastructure restored and replenished and all its services reinstated, it also *deserved* a better and more secure future, because its well-being reflected the vibrance and sustainability of the city itself. If the Library was allowed to continue to decline, then the city would also be seen as moving backwards, as well. After all, the people of New York and all Americans were the real owners of the Library because it existed to serve them, to provide a great archive of knowledge and education open and free to all.

In regard to “getting the message out,” one of the most important decisions we made at the Library was prompted by my belief—shared by the staff and the Board—that democracy and excellence are not mutually exclusive; in regard to the Library, that translated into a conviction that public institutions can have both high visibility and high standards. With that in mind, we set out to make the Library's cause everybody's cause, and we made that cause not simply about survival but about the *quality* of the Library's survival. It would not be enough simply to keep the doors open: those doors had to lead to the most thorough, wide-ranging and eclectic collection of knowledge and information—both probing deep into the past and poised on the cutting edge of tomorrow—that human beings were capable of amassing.

Furthermore, like all its sister libraries across the nation, the Library had to adapt to changing times by embracing and utilizing all the new technologies that were becoming available—which meant not only finding the money to provide the budget for these innovations but also effectively and smoothly incorporating them into the institution's daily operations. And in an age when individuals were testing out their newfound ability to access knowledge and information online, bypassing institutions such as the Library, we had to prove to the public that the Library had not become irrelevant; that it was, in fact, among the most modern and contemporary of institutions.

In that regard, we were proud to underscore another aspect of the Library's significance to an evolving society: its unwavering commitment to the rights of its users. The Library has always stood—as it stands today, along with the 117,000 other libraries in the United States including 9,000 public libraries—as a guardian of Americans' right of free inquiry and to the privacy of their searches for information. In fact, the protection of these rights has been codified by the American Library Association, which says in the *Library Bill of Rights*, “Books and other library resources should be provided for the interest and enlightenment of all people of the community the library serves. Materials should not be excluded because of the origin, background, or views of those contributing to their creation.” Further, the *Bill of Rights* states, “Libraries should provide materials and information presenting all points of view on current and historical issues. Materials should not be proscribed or removed because of partisan or doctrinal disapproval.”<sup>17</sup> The Council of the American Library Association

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<sup>17</sup> *Libraries: The First Amendment and Cyberspace*, by Robert S. Peck (American Library Association, 2000).

has also reaffirmed the right of privacy, issuing a strong recommendation that libraries across the U.S. “Formally adopt a policy which specifically recognizes its circulation records and other records identifying the name of library users to be confidential in nature,” and that they “Advise all librarians and library employees that such records shall not be made available to any agency of state, federal, or local government...”<sup>18</sup>

We went about our mission of telling the Library’s story in many ways, illustrating how it affected the lives of children, immigrants, and “ordinary citizens,” as well as the scholars, writers, scientists, artists, and all the others who would have been lost without this irreplaceable library. We also pointed out that, pre-Internet, The New York Public Library served as the morgue for many newspapers including *The New York Times* that did not have a back-issues archives open to the public.<sup>19</sup> We told publishers that we were one of their most important links to the public, because people who learn, through libraries, to love reading, are future buyers of books. And we told everybody who would listen that, as Andrew Carnegie said, the free library “is the cradle of democracy.”

This was a message that resonated, that everyone seemed to understand. There was little doubt that the Library deserved the time, attention and financial contributions from everyone who could afford even the smallest measure of support. We could not have spread our message as far and wide as we did without the assistance of the media—news-

papers, magazines, television stations—and especially, without the help of *The New York Times*, which took up the Library’s cause in a big way. Indeed, at times it seemed there was so much coverage of the Library in the paper, with stories appearing almost daily, that Abe Rosenthal, the editor of the *Times*, complained to Arthur Gelb, the managing editor—not necessarily jokingly—that there must have been something wrong with the paper because a whole day had passed without the *Times* publishing a story about the Library. I should note here that Arthur Gelb did not have to prod the reporters, however: even the jaded and blasé New York press corps got caught up in the Library’s struggle to reestablish itself as central to the life of the city and the nation. *The New York Daily News*, the *New York Post*, *Time*, *Newsweek*, *Women’s Wear Daily*, even *Rolling Stone*, not to mention scores of fashion magazines and journals dealing with libraries, the arts, and culture, all featured positive, supportive features about the Library because it was *their* Library as much as anybody else’s.

It wasn’t just the press, or just wealthy and eminent individuals who came to the aid of the Library. A study by Independent Sector has revealed that, contrary to conventional wisdom, low-income people donate a disproportionately larger percentage of their income than do the wealthy, which comes as no surprise to me because I certainly found this to be the case in regard to the Library. One of the most moving donations that ever came over our transom was a Social Security check sent from the resident of a nursing home who enclosed a note that said, essentially, “I don’t have much money, but this is my tribute to the Library.” One of the most surprising gifts was from the person who left us one million dollars in his will because, he said, he didn’t like the government and didn’t want his money to end up with them.

<sup>18</sup> *ibid.*

<sup>19</sup> It is important to note here that today—hard as it may seem for some to believe—there are still millions upon millions of pages of archival records and documents as well as recordings, visual images and other material that have not been digitized and are not stored in any electronic media or available online; it is the responsibility of libraries to continue to preserve these materials so they are available to future generations.

Over the years, at the annual public holiday party we held at the Library, I stood at the door along with Mrs. Astor, Andrew Heiskell, Richard Salomon and other Trustees to greet thousands of patrons—the citizens of New York, whom I called the true stockholders of The New York Public Library—and was greeted, in turn, with many envelopes holding small contributions and large checks. It was like people were attending a wedding, a bar mitzvah or a christening.

Writers were also important stockholders in the Library, so to extend “the right of ownership” to them we created the Literary Lions evening, which was really the handiwork of Richard Salomon and philanthropist and Estée Lauder Company executive Leonard Lauder. This was also a way to link “high society” to philanthropy since, in bringing writers and benefactors together, we made clear that the wealthy should consider it a privilege to host a table in honor of an author at an event celebrating the city’s and nation’s most important literary figures. The writers were clearly the celebrities at the event, and their star rose even higher by being included in the circle of Literary Lions. In fact, there were no speakers and no introductions at the Literary Lions dinners because, considering both the writers and society figures in the room, *everybody* was somebody. Instead, we had prominent actors and actresses read classic passages from prominent authors.

The event started out with twenty-one distinguished writers acting as hosts to twenty-one tables for dinner and the cost to benefactors was \$10,000; it became such a success that we eventually raised the price to \$25,000. The media coverage was so extensive that it brought forth many requests to underwrite the costs of the decorations, beverages and food as well as

pressure from prominent individuals who were eager to sponsor a table.

One major outcome of the Literary Lions—an event that was later imitated throughout the country—was that the author and biographer Barbara Goldsmith helped to establish a preservation laboratory at the Library (which now operates under the banner of the Barbara Goldsmith Conservation and Preservation Division) and galvanized the most influential writers of our time on behalf of a campaign for the use of acid-free paper to ensure that books last through the generations. Later, Goldsmith also became a Trustee of the Library.

The Library Trustees, staff and I were grateful, gratified, humbled and thrilled by how people rose to our cause and honored “The People’s Palace,” a term coined by some of us but popularized by Norman Mailer, among others. Still, there were times when some of my colleagues and I felt discouraged or weighed down by how challenging it was to meet the aspirations of the public and their many needs. On such occasions, my recommended remedy for that feeling was simply to walk into the Library’s Main Reading Room, and the sight of hundreds of readers and researchers bent over the tables lit by Tiffany lamps, books and papers in hand, would provide a shot of instant adrenalin. Often, one could see several generations of one family—a grandparent, a parent and a child or two—reading and studying in the Library at the same time.

I don’t mean to minimize the difficulties that we faced in turning around the fortunes of the Library, but to provide some context for the contrast between the wonderful, hopeful days we all experienced and the difficult ones, too. Dealing with the public sector, for example,

was extremely taxing. Government on every level is confronted by so many needs, from so many quarters, that it was difficult to show how the Library—no matter how deserving it was—could be seen as more worthy of support than so many other institutions, organizations and individuals, many of those in dire straits. Still, we did try to make our case by giving hours of testimony before the City Council, the Board of Estimate and community boards. And then, of course, we went through the annual ritual we engaged in with the city government: first, the mayor would cut the Library's budget. Then, volunteers working on behalf of the Library would collect thousands of signatures from people in every borough demanding that the cuts be restored and present these petitions to City Hall. Finally, the City Council would put back into the budget the money that the Mayor had removed. It was a brutal process but gratifying, in the end, because it was clear to the city's officials that those who loved our Library were also voters, and attention had to be paid to how they thought the city's resources should be apportioned.

Still, I learned an important lesson from participating in "funding battles" with the city. Because New York City, as I noted earlier, actually has three separate library systems; if we competed against each other for funding, we all lost. The best way to handle our different needs was to meet beforehand and settle any competitive problems that might exist among us in terms of funding needs so that we could present a unified front to the city once we entered into negotiations. We learned not to air any disagreements we might have had in public. I remember, once, even surprising city bureaucrats by declaring, "Give more money to Queens!" That kind of collegiality and solidarity gave all our requests for funding more authority.

In terms of funding, another important lesson to be learned was that while touting the economic benefit of maintaining institutions such as museums and libraries is a wonderful idea, pushing the economic end of the argument for the value of such institutions should not come at the expense of their intrinsic social, cultural and educational value. Economic rewards may indeed accrue to a city, state, or nation from having extraordinary public institutions, but they should not be counted on or be narrowly perceived as economic engines only. That is not the purpose for which they were created nor the ultimate goal that they should be striving for.

Additionally, I came to believe that, in terms of funding institutions such as the Library, while lump sum additions to budgets are fine, what is best is that financing be provided on the basis of a formula—the way that Social Security payments are determined, for example. Lump sums can be subtracted from at someone's whim or during periods of economic downturn. Formulas are faceless and enduring and often less subject to being tampered with.

All in all, the renaissance of The New York Public Library was a triumph of public-private partnership. Initially, the public sector thought they had given us what amounted to a hunting license by telling the Library that in order to get public funding, first we had to show them what kind of money we could raise from the private sector. Because we were so successful in raising private support, we transformed the city's hunting license into a compact between the city and our institution, showing that indeed, public funds spent to maintain and improve The New York Public Library would be matched many times over by private support, not only in the form of money but also by those who gave their collections to us to house at the Main Library on 42<sup>nd</sup> Street and by

those who contributed to the branch libraries around the city. During my tenure, through public and private generosity, we raised \$327 million for the Library (not including more than \$100 million in gifts-in-kind), but the amount of money wasn't nearly as significant as the fact that, in time, the entire engine of the city and its resources—government, corporations and citizens—was mobilized on behalf of the Library and committed to its future.

### The Impact of Philanthropy

My years at the University of Pennsylvania had exposed me to the extraordinary breadth and range of American philanthropy, but heading The New York Public Library thrust me into the midst of intense and intimate encounters with individual philanthropists and philanthropic families, as well as with a number of the nation's major foundations. Interacting with those who were among the most prominent and committed philanthropists in the nation left a lasting impression on me in terms of the culture of New York City and America, which promotes not only the act but the duty of giving—along with the genuine joy of helping a cause that one deeply and profoundly believes in.

I used to say—and still deeply believe—that the only institutions capable of giving or guaranteeing some measure of earthly immortality are museums and libraries. Buildings do not last. Streets and the names given them don't last. Even cemeteries, which are meant to last, have an ephemeral quality—after all, few people visit them on a regular basis for any reason other than to mourn. In that connection, the documentary filmmaker Ken Burns has helped to popularize a favorite expression of mine—namely, that museums and libraries are the DNA of our civilization. They are the embodiment of the individual and collective

memory of mankind, the record of human endeavor, open to all who wish to pass through their doors.

Based on these premises, we undertook a campaign that marshaled historical, moral, ethical, populist, idealistic and progressive arguments in support of the Library. Therefore, instead of seeing ourselves as supplicants for the Library, we viewed ourselves as promoting people's partnership with The New York Public Library. After all, supporting the Library was one of the few causes in our society that was both non-controversial and ecumenical at the same time. Being a supporter of the Library was, in a sense, being a supporter of history, of knowledge, of education, of culture and of learning and democracy. We were convinced that everyone would be in agreement about that. After all, even Lenin had praised The New York Public Library; in 1913, after reading the Library's first annual report, he wrote an editorial for *Pravda* in which he suggested that what Russia needed was a similar institution where citizens would have free access to information and knowledge...

Almost everyone we approached about supporting the Library responded with extraordinary generosity. There were members of families who have a legendary history of philanthropy, such as the Rockefellers, notably David and Laurence. And Mrs. Astor, of course, who provided support not only through her own personal philanthropy but also through the Vincent Astor Foundation.<sup>20</sup> Other philanthropic families whose members were major supporters of the Library included the Gottesman sisters, Joy, Celeste and Miriam and their spouses. They supported the Library through various Gottesman family founda-

<sup>20</sup> The Vincent Astor Foundation, created in 1948, intentionally spent down its funds and was closed by Brooke Astor in 1997.

tions and funds,<sup>21</sup> as well as Irene Diamond who headed the Aaron Diamond Foundation after the death of her husband in 1984.<sup>22</sup> In addition, there were those who gave because of both a deep commitment to what they felt was their civic duty combined with a sense of gratitude for the opportunities that The New York Public Library had provided to them. These included the Wallace Foundation, which became faithful supporters of the Library, because DeWitt and Lila Wallace had used the Library's resources when they began condensing books and articles for *Reader's Digest*. In fact, the DeWitt Wallace Periodicals Room was restored to its turn-of-the-century glory with Wallace funding. Another example was Bill Blass, who became the first fashion designer to be named a Trustee of The New York Public Library. He began his association with the Library in 1984, when Richard Salomon invited him to help organize a Literary Lions fund-raising event. He later left the Library \$10 million, one of the largest gifts it had ever received at that time. Blass said, "Growing up in a little town in Indiana during the Depression, books and the local library were an important part of my life. I'm a visual person; that's my profession, but books are my passion."<sup>23</sup>

21 A 1981 grant of \$1.25 million from the D.S. and R. H. Gottesman Foundation allowed The New York Public Library to refurbish its main exhibition hall, which had not been used for displays since World War II. The hall is now called the D. Samuel and Jeane R. Gottesman Exhibition Hall, in honor of businessman and philanthropist D. Samuel Gottesman and his wife Jeane. In 1987, another neglected part of the Library, a beautiful domed space that had fallen into use as a warehousing area, was reopened as the Celeste Bartos Forum, after grants from Celeste Gottesman Bartos and her husband Armand helped to restore it for public use. Miriam (Gottesman) and Ira D. Wallach provided support for The New York Public Library's Division of Art, Prints and Photographs, which bears their name. Joy Gottesman Ungerleider-Mayerson was a major benefactor of the Library's Dorot Jewish Division.

22 Irene Diamond passed away in 2003 at the age of 92. In the ten years between 1987 and 1996, when it closed after spending its assets, the Aaron Diamond Foundation gave away over \$220 million to more than 700 New York City organizations.

23 "Bill Blass Gives \$10 Million to Library," *The New York Times*, January 13, 1994.

## Widened Horizons

In retrospect, my eight-and-a-half years as president of The New York Public Library broadened my outlook—as I'm sure it would have for anyone in a similar position—on education and connected me with America's national institutions, and with the world, in general, in a way that the years I had spent as a teacher and academic administrator in California, Texas and Pennsylvania<sup>24</sup> had not. My horizons were widened. Any sense of regional parochialism that may have lingered in my consciousness had now dissipated. After sailing forth into the vast ocean of social, cultural, political and educational life that is New York City, it was impossible to retain any sense of insularity or isolation, or to return to a smaller world or hold a smaller worldview. Over time, New York nationalized, even internationalized many individuals like me: as the oft-quoted saying goes, "The journey was just as important as the destination," and in my case, in terms of what I learned from my relationship with the Library—and my stewardship of that remarkable institution—that was certainly true.

In fact, I would say that in a sense I began to see America through the prism of my experiences at The New York Public Library. The swirl of political, social, cultural, ethnic and educational dynamics that I dealt with on a daily basis revealed America to me in all its complexity and diversity—through personal as well as institutional contacts—with such impact that I knew I would be forever affected by what I had been exposed to. Perhaps one of the most important lessons I learned was that, as an academic administrator, I had spent my time focusing on whatever issue or problem I had to deal with immediately, often without

24 Elsewhere, such as in my autobiography, *The Road to Home*, I have discussed my career at San Francisco State College, the University of California at Los Angeles and the University of Texas at Austin.

considering or even understanding the larger context that surrounded whatever the issue was. But the Library taught me to always keep my mind and my eyes open to everything, from small nuances to the big picture, and to keep learning as much as I could, because everything I learned had value.

While at the Library, my experiences were broadened by serving on the Boards of a number of nonprofits. I joined the Boards of only those nonprofits that I felt I could contribute to and that, in turn, would advance my learning process: I was eager to understand all I could about both the superstructure and the infrastructure of our society. I was especially interested in serving those nonprofit groups that interacted with local government so that I could get a real bird's-eye view of how state and municipal governments work. Of course, I also learned a great deal about how federal agencies such as the National Endowment for the Arts, the National Science Foundation and the National Endowment for the Humanities relate to and work with institutions such as the Library. In a sense, then, The New York Public Library proved to be the best real-world civic, political and institutional education I could have ever gotten, because at every level—city, state and federal—there were organizations or agencies that had an impact on how effective the Library could be on both a day-to-day and long-term basis, and to what extent it could carry out its mission.

By 1988, after more than eight years of intense work, I felt that the Library's renewal was on track by the measures of progress we had undertaken on its behalf. Its fund-raising efforts were a success; the Library had a great administrative team in place and a great Board of Trustees. Its relationships with the city, the state and federal agencies were exemplary and the Library's physical infrastructure had been

restored. Thanks to Marshall Rose and Andrew Heiskell, even Bryant Park was in the process of being reborn as a safe and beautiful garden spot in the middle of the city that could be enjoyed by casual strollers, lunchtime diners and even used for major cultural and civic events.

Much had been accomplished. We had made the revitalization and restoration of the Library a model for libraries across the country. As I reflected on all this, I recalled a saying that was then in circulation: "When you are on a journey and you reach the station called Success, get off."

I felt that at the Library, we had reached that station. It was time to move on. I received the concurrence and approval of the Board for my decision, and we worked together to pave the way for transition. Under the leadership of Elizabeth Rohatyn, Marshall Rose and Samuel Butler, the Library was strong enough to attract new leaders, first the late Father Timothy Healy and later, Paul LeClerc.<sup>25</sup>

Elsewhere,<sup>26</sup> I have discussed the opportunities and challenges that I faced in moving ahead. Naturally, when one had been the president of any major national institution—in my case, The New York Public Library—one faces serious problems when seeking a new career. In particular, in this age of leaks and gossip, when confidentiality and privacy seem to have lost any meaning, it is important to be very careful about reacting to job "offers" where one's name has really just been speculated about to fill a particular position. One does not want to be perceived as having been "turned down" for job or to have been considering an offer that was subsequently withdrawn. This has nothing at all to do with

<sup>25</sup> In 1989, the late Father Timothy Healy became president of The New York Public Library. He was succeeded by Paul LeClerc in 1993.

<sup>26</sup> *The Road to Home*, op cit.



ego or self-protection but with the reputation of the institution one is leaving; its former or soon-to-be-former president must not be perceived as somehow being a lesser light than any other candidate for a new post. If an institution is not serious about a job offer or signals that “the fit” is not right, the candidate should be given ample opportunity to withdraw his or her name. Otherwise, one’s position in one’s institution becomes untenable, not to mention the danger to one’s reputation. In my case, my candidacy for new positions was put forward by others, which is my recommendation for how to proceed in such instances. That way, if a particular position is not offered, it is the individual proposing the candidate who, in effect, is turned down, not the candidate him/herself.

I was eager to return to academia and to teaching. I felt that I had a renewed sense of purpose: I wanted to participate in helping to prepare the next generation of American leaders. In that connection, three outstanding opportunities arose: the presidency of the John D. and Catherine T. MacArthur Foundation as well as the presidencies of two great universities—one public and one private: the University of Michigan and Brown University. Having spent over eight years as the president of The New York Public Library, I was leaning toward another major public institution—the University of Michigan, with its three campuses: Ann Arbor, Flint and Dearborn.

Since I did yearn to teach, the choice was between the two universities, but I agonized over which to choose. I engaged in an intense debate with myself. In regard to the University of Michigan, it seemed to me that the land-grant institutions were gradually being transformed into “semi-public” universities. For example, in the late 1980s, less than fifty percent of the university’s funding came from

the state. Federal dollars, philanthropic gifts, alumni giving and steep tuition fees had helped the University of Michigan become a formidable public/private university. What was at stake, I thought, was to see how much of the “public” component could be preserved in this public university. I was honored to learn that according to the search committee’s opinion, my experience at the University of Pennsylvania, but more importantly, at The New York Public Library, had given me the credentials to be a defender of the rights of public institutions and I was eager to do so. The University of Michigan faced tremendous challenges, and when they offered me the presidency, I was excited and ready to take them on.

As for Brown, the third oldest college in New England and the seventh oldest in the U.S., it, too, faced enormous challenges: it had the lowest endowment in the Ivy League, was roughly the size of the Faculty of the Arts and Sciences at the University of Pennsylvania, and was struggling to maintain a proper balance between its undergraduate and graduate programs, its academics and its athletics, and the preservation of a historic campus while meeting the needs for renovation and modernization. Those who advised me to accept the Brown presidency, including Richard Salomon, who was chancellor of the university, believed that I could help to take Brown to the next level of excellence. For that reason, as well as other professional and personal family considerations, I made the decision to accept the presidency of Brown University.<sup>27</sup> Over the next nine years, I had a chance to see if my decision was right.

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<sup>27</sup> For a further discussion of the reasons for choosing Brown University, see *The Road to Home*, op cit.



## Brown University

When I arrived at Brown, it was no secret that in terms of its finances, it was the weakest of the Ivy League institutions. I wasn't too worried about this because The New York Public Library, and the University of Pennsylvania, had prepared me not to dwell on financial weaknesses and perceived limitations but on possibilities and potentialities. I was eager to tackle Brown's problems, just as I had at The New York Public Library. I quickly came to love Brown the way I loved the story of David and Goliath, because it was competing with some of the best higher education institutions in the United States, and attempting to keep pace with them. Even though Brown had limited resources, it had unlimited human aspirations. At the time, I likened Brown to the nation of Japan, which is slightly smaller in area than the state of California and has few natural resources other than its proximity to the sea—and yet, because of its human talent and the imagina-

tion and will of its population, as well as their work ethic and dedication to education—has made itself into an economic giant and a real player on the world stage. That same kind of self-confidence, imagination and daring seemed to me to be the hallmark of Brown.

What I also loved about Brown was that it was a university where every professor actually *taught*. They did justice to their title, professor: they professed. And they didn't approach teaching as a "load"—it was a responsibility and a privilege. Brown did not have a research faculty, a graduate faculty and an undergraduate faculty, but just one faculty for one cohesive student body. Professors were certainly devoted to their research but also to the depth and quality of their teaching. This true dedication to teaching students fit with my vision of a university, which was—and is—that the faculty is the heart and soul, the bone marrow and blood of the university that shapes the character and strengthens the foundations of the institution.

The students, faculty and staff seemed almost *sassy* to me, and I knew that the university had the qualities of imagination and daring to be great. Yes, its resources were limited, but in terms of human talent, imagination, dedication, and work ethic on the part of students and faculty, it seemed to me that Brown excelled. During my time at the university (1989-1997), I often thought of the saying that a great tradition can be inherited, but greatness itself must be won. In that same vein, the mantle of excellence must also be earned, again and again, over time. In other words, as Andrew Carnegie once said, no person or institution should rest on the accomplishments of their ancestors alone because then "the most fruitful part of [your] family, like the potato, lies underground."<sup>28</sup>

<sup>28</sup> *The Autobiography of Andrew Carnegie* (Northeastern University Press; Reissue edition, 1986).

Brown had been in the “earning” business for almost two-and-a-half centuries. Upon assuming the presidency, I was deeply aware that Brown owed much of its success to a handful of great leaders in the past, such as Francis Wayland, who was the fourth president of the university, serving from 1827 to 1855. At that time, the institution had three professors, two tutors and only ninety students. Brown’s property consisted of two college buildings, used as lecture rooms and dormitories for students. In 1850, President Wayland wrote that “the college has not for more than forty years received a dollar from public or private benevolence. We have a tolerable college not actually starved but in salutary fear of starvation.”

Wayland, I should note, was a man of many accomplishments: he wrote the first textbook on economics and was among the early curriculum reformers. In fact, Brown remained small and impoverished until the decade after the Civil War. But Wayland recognized early on the need for fundamental change. The college had a rigid curriculum; memorization, tested through daily recitations, was the prevailing form of instruction. Like other American colleges of the period, Brown relied on pedagogic principles and disciplinary rules thought to be appropriate for keeping adolescent boys—by far the largest group of individuals attending the nation’s colleges—in order. Seeking to rescue Brown from its educational doldrums and at the same time make the institution more useful to the city, state and nation, Wayland urged major changes that, in time, came to include a place in the curriculum for science and technology, allowed for student choice in the subjects studied, and established courses in English literature and modern languages. The “New System” he championed, which was detailed

in his famous *Report to the Corporation* [of Brown University] *on Changes in the System of Collegiate Education*, was much discussed by contemporary educators and has been a key source for twentieth century historians. Aiming to extend education to others than those entering the learned professions, the report proposed changes in the curriculum through which, by adopting “a system of equivalents, we may confer degrees upon a given amount of knowledge, though the kind of knowledge which makes up this amount may differ in different instances,” and offer education to “the agriculturist, the manufacturer, the mechanic, or the merchant.”<sup>29</sup>

For me, Francis Wayland embodied the proof that needs don’t present opportunities: ideas do. Every institution has needs. What distinguishes one institution from another is the leadership’s vision as well as the will, patience and courage to fight for and implement needed reforms or new directions that will serve the institution’s core ideals.

Following the example of Francis Wayland, 119 years later—in 1969—Brown University unveiled a new curriculum. Known as “The Brown Curriculum,” it gave Brown University an advantage over other Ivies: by encouraging students “to study broadly by choosing courses according to their developing interests,”<sup>30</sup> the curriculum attracted bright, self-reliant students from across the nation who wanted to take courses in different fields for the first two years of college, even some with a pass/fail grade, because it was important to them to acquire a broad spectrum of knowledge before they majored in any given subject. Brown’s curriculum was controversial because there were those who felt that it gave students an

29 [http://www.brown.edu/Facilities/University\\_Library/exhibits/education/baptist.html](http://www.brown.edu/Facilities/University_Library/exhibits/education/baptist.html)

30 [http://www.brown.edu/Administration/Dean\\_of\\_the\\_College/curriculum/](http://www.brown.edu/Administration/Dean_of_the_College/curriculum/).

opportunity to avoid taking core courses in math, science, English, history, etc. Since I was a product of Stanford's core curriculum and believed in intellectual cohesion and "high standards," my appointment was welcomed by those commentators who said they were sure that I would "revisit" the curriculum. I did, by instituting a major curricular review, which resulted in measures aimed at improving the guidelines for students and advisors to enable them to choose wisely from the university's broad offerings and other requirements that helped to strengthen the rigor, structure and philosophical foundation of the curriculum while retaining its flexibility. As part of the review we carried out—though I was assured that the curriculum was balanced—I asked to see a record of the courses that an entire class had taken over four years. To the great surprise of many, it turned out that the students had chosen to take math, science and other courses one would have predicted that they would shun. That gave me confidence that Brown's curriculum was not designed to help students avoid certain courses but to provide guidance about their choices.

In the meantime, however, I thought it was important to clarify my educational philosophy and modus operandi at the beginning of my presidency rather than reveal it piecemeal throughout my tenure. In that regard, there were two main points I wanted to make: first, that as far as I was concerned, academic freedom cannot, and would not, be violated. Second, that I did not accept demands: petitions, yes; comments, yes; criticism, yes; but not demands, especially nonnegotiable demands, which had been part of the "spring rites" at many universities. But while making these points, I also wanted to be clear that creating an environment where real debate and discussion were welcomed and encouraged was

very important to me. After all, debate, discussion, even controversy, including the struggle between orthodoxy and heterodoxy, have been at the heart of intellectual movements for centuries. Students had to become comfortable with the idea that controversy cannot be avoided; debate cannot be silenced: to do either is to abandon the advancement of knowledge. The pursuit of knowledge, above all else, is the mission of the university, and not all lessons are confined to formal study. Brown's student body was so diverse that in and of itself, it presented an opportunity for learning, meaning that if one's heart and mind were open, it was possible to develop a deep understanding of *other* people, *other* customs, *other* beliefs and *other* ways of looking at life, religion, culture, human relationships, politics, etc. If that can be done, the path to real tolerance is open: the ability to accept and respect humanity's multitude of differences, not because this or that law says you must, but because knowledge has helped you to understand universal values and to build a bridge between yourself and the rest of the world. That notion—of tolerance based on real understanding, and on knowledge, rather than on the more shifting sands of some concept of "political correctness"—was one that I focused on throughout my presidency at Brown and urged the faculty and students to pursue, as well.

It was not just different points of view in the realm of politics that I wanted heard on campus, but also those of religious and ethnic diversity. Toward that end, in 1996, Brown invited the Aga Khan, the spiritual leader of Ismaili Muslims, to be the first Muslim to give a baccalaureate address at any American higher education institution. I encouraged public readings of the Bible, the Talmud and the Koran as well as readings from Hindu and other texts that reflected the makeup of

Brown's student body and supported the many religious groups on campus as well as the various chaplaincies.

Nurturing an environment where diversity and integration are the norm is an important role for a university. In the past, it seems to me, there were three areas of society where people from different ethnic groups, classes, religions, races and regions of the world had the opportunity to meet. One was the army, another was the workplace and the third was in public institutions, especially public schools. Since the draft is gone, and both public schools and the workplace are increasingly reluctant to discuss issues of race, religion, and ethnicity (except in terms of adhering to laws and regulations), that leaves the university as a critical venue not only for education and learning but also for acculturation encounters of many sorts. It is also important, in view of the U.S. role as a world power with many international obligations, that the university help to build bridges between the many divergent groups that comprise our own campus communities before we try to build bridges with others abroad. After all, the United States and its universities represent microcosms of humanity, the very essence of the concept *e pluribus unum*, and must provide models for other multinational, multiethnic and multireligious societies.

In preparation for my inauguration as the sixteenth president of Brown University, I had the opportunity to collaborate with the faculty, staff and students to put my ideas into action, I worked for several months on my inaugural speech, which I delivered on April 9, 1989. The inauguration seemed to me to be like a wedding, a ceremony where you're making your vows to the institution instead of to a person, to its values, its past, its present and its future—and to its possibilities. My address

stressed the fact that over the next century, the university and society faced awesome and complex problems. I highlighted three of them. First, the integration of knowledge: "The greatest challenge facing modern society and civilization," I noted, "is how to cope with and how to transform information into knowledge." Second, rededication to the liberal arts: referring to a remark of Justice Felix Frankfurter that "the mark of a truly civilized man is confidence in the strength and security to be derived from an inquiring mind," I explained that is why I believe in the importance of a liberal arts education. Third, mutualism: "More than ever," I told my audience, "we need to recover a sense of the wholeness of human life and understand the human condition. Every human being needs direct personal contact with the great stories, myths and fiction of the human race, an encounter with history in order to begin to know oneself and to sense the potentialities that lie within one's reach and the reach of other human beings."

I concluded by reaffirming my conviction that ignorance is a sin; it deprives the individual of knowledge and autonomy and dignity. Education, learning and scholarship constitute acts of faith in the continuity of humanity. They honor the past and serve as a witness to the future. After all, the business of education is the creation of the future. It was with all these ideas in mind that I began my tenure at Brown.

### **What Makes a University a University?**

It probably goes without saying that a university is an extraordinarily complex organization. An apt analogy is to think of the university as a kind of mini city-state which, as was long ago elucidated by Aristotle, was the most complete community, because it was supposed to be self-sufficient and existed for the benefit of

its citizens.<sup>31</sup> The comparison remains timely because universities, like city-states, have their own governance, structure, organization, autonomy, regulations, culture and mores, and their own history and identity. Both also have streets, roads and buildings to maintain; they have an entertainment “industry” to operate—with dozens of sports teams, choirs, orchestras, theaters, magazines, performances, and the like—and they have newspapers, radio and television stations, publishing enterprises, “propaganda” machinery, security forces, unions, governing bodies, revenue systems, “taxation” in the form of tuition hikes and fees, housing, health and career services, artists, scientists in labs making discoveries, development officers in the business of “revenue enhancement,” bookstores—the analogies can go on and on. They even have their own judicial processes, which often are at variance with the established legal system of a city, state or country. An example of this is the student handbook of Plymouth State University in New Hampshire, which describes this quite clearly: *A University’s judicial system is not a court of law. The two systems are independent, have a different purpose, process, standard used to determine responsibility, and sanctioning philosophy. While some procedural elements may seem similar the University judicial system is founded on educational philosophies.*<sup>32</sup> And, like a city-state, universities are subject to demonstrations, strikes and protests about everything from the salaries of workers to national and international issues that students may want the university

to take a stand on, one way or another (as was often the case during the Vietnam era or with respect to apartheid in South Africa or civil rights in the U.S., not to mention, currently, the war in Iraq).

Clearly, then, since the university is such a complex organization, the presidency is among the most complicated tasks an individual can ever take on. Those who have accepted the challenge have had some interesting things to say about it. Among them was Henry Wriston, who served as president of Brown University from 1937 to 1955. In portraying the president’s job, he wrote: “The president is expected to be an educator, to have been at some time a scholar, to have judgment about finance, to know something about construction, maintenance, and labor policy, to speak virtually continuously in words that charm and never offend, to take bold positions with which no one will disagree, to consult everyone, and to follow all proffered advice, and do everything through committees, but with great speed and without error.”

These expectations, it should be noted, are not limited to the leaders of private universities. Clark Kerr, who was president of the University of California from 1958 to 1967, gave a similar description: “The American university president is expected to be a friend of the students, a colleague of the faculty, a good fellow with the alumni, a sound administrator with the Trustees, a good speaker with the public, an astute bargainer with the foundations and the federal agencies, a politician with the state legislature, a friend of industry, labor and agriculture, a persuasive diplomat with donors, a champion of education, generally... a spokesman to the press, a scholar in his own right, a public servant at the state and national levels, a devotee of opera and football equally, a decent human being, a good husband and father... He

31 “Since we see that every city-state is a sort of community and that every community is established for the sake of some good (for everyone does everything for the sake of what they believe to be good), it is clear that every community aims at some good, and the community which has the most authority of all and includes all the others aims highest, that is, at the good with the most authority.” Aristotle. *Politics. Books I and II*. Clarendon Aristotle Series (Oxford University Press 1995). I.1.1252a1-7.

32 Plymouth State University Student Handbook, <http://www.plymouth.edu/stulife/handbook/judicial/>.

should be firm, yet gentle, sensitive to others, insensitive to himself; look to the past and the future, yet be firmly planted in the present; he should be both visionary and sound, affable, yet reflective...a good American but ready to criticize the status quo fearlessly; a seeker of truth, where the truth may not hurt too much; a source of public policy pronouncements when they do not reflect on his own institution." What can happen to a president who seeks to fill every role that everyone on campus and off wishes to see him or her play is a metamorphosis into a kind of glad-hander who is not fully in charge of the university's direction or directing its mission. That does nobody any good and diminishes the office holder. In the words of John Silber, president of Boston University from 1971 to 1996, "Presidents who turn the most important and most difficult tasks of university administration over [to others] are unworthy of the title of president."<sup>33</sup>

For the president of a university as well as other administrators, one of the most critical challenges is finding ways to rise above the daily problems and routine in order to keep working toward the ultimate goal of fulfilling the university's mission without being bogged down by the mechanics of *how* things will get done. Not only must a successful university president understand and identify what the essential issues and tasks are, he or she must be able to mobilize all the university stakeholders—students, faculty, alumni and staff, not to mention Trustees—around these common concerns and a shared vision of the university and the goals to be achieved. First, of course, the president has to help promote a university culture in which each member of the community *considers* him or herself to be a stakeholder, so that more than just benefiting

from the institution for one reason or another, he or she takes responsibility for its future and its well-being. Equally important is that goals established for the university must be achievable, and that plans to achieve them must be realistic; otherwise these will remain only pipe dreams. What's more, plans should have well-thought-out implementation provisions and timetables; if one goes forward without a good set of blueprints at the ready, progress will be sporadic and failure may result, thus contributing to cynicism about the university's goals and the administration's ability to ever reach them. In fact, being able to manage cynicism is one of the hallmarks of leadership. That is why great visions have to be accompanied by achievable benchmarks and measurable accomplishments. This can be difficult for many reasons, but particularly because change of any kind often generates conflict. Some university presidents decide they want to avoid conflict at any cost. But risks must be taken, even those that involve a president staking his or her reputation—and job—on the outcome. In such cases, if one believes in one's vision and the soundness of the plan of action that has been decided upon, then no other course can, or should, be followed. After all, it is easy to be mediocre. Excellence, on the other hand, exacts a steep price in the form of time, dedication, patience and hard work—and sometimes in the face of organized opposition.

Naturally, these issues can be further complicated by the fact that universities don't exist in a vacuum. Universities are part of a larger community and they both affect and are affected by the politics, culture, people and environs with which they interact. In some regions, as manufacturing declines, colleges and universities become even more socially and economically important. Hence, it's necessary for universities and their leadership to be con-

<sup>33</sup> "The Transformation of the Modern President," by David Sherfinski, *The Yale Herald*, April 24, 2006.

stantly and appropriately sensitive about how to coexist with and be supportive of their urban and rural communities. It is, in part, for these reasons that universities like Yale, Columbia, Clark, and the University of Pennsylvania (which is the largest employer in the Philadelphia area) have embarked upon economic, social and educational programs that connect them with and serve their communities in order to maintain the kind of positive relationships that are necessary for both the university and the community to thrive. Brown, for example, has been integrally involved in the Providence Plan, which was established in 1992 to contribute to urban renewal and economic and cultural development in Providence, Rhode Island, improve the city's public schools, and contribute to local development.

Competition with other higher education institutions also influences many elements of how a university functions, how it perceives itself and is perceived by others, even what its policies and educational offerings are—indeed, almost every area of university life may be affected by concerns about competition. The influence of market forces on a higher education community that is part public, part private, and includes both nonprofit and profit-making institutions, only continue to grow. Colleges and universities compete for students, faculty, athletic titles, revenue, rankings and prestige,<sup>34</sup> a process that in some instances may distort the true public aim of higher education, which is to produce educated citizens whose lives will be productive and rewarding, for themselves certainly, but also for the larger society.

For a university and its leaders, therefore, it's important to put competition into perspective: what is its aim? What is the competition

<sup>34</sup> *The Future of Higher Education: Rhetoric, Reality, and the Risks of the Market*, by Frank Newman, Lara Couturier and Jamie Scurry (John Wiley & Sons, Inc., published by Jossey-Bass, 2004).

*for?* How can it serve the university's overall mission and its goals? How can it help to define the unique contributions that a particular university is able to make, not only to its students and faculty, but to the wider community, as well? That last question is critical, because the diversity of our higher education system is one factor that gives it great strength. Individual institutions have traditionally emphasized different functions and have complemented each other by meeting different local, regional, national and international needs—by providing educational opportunities to a diverse population, by expanding scientific and technical knowledge, and by offering pathways for continuing education.

In the years to come, however, competition in terms of higher education may not be simply a matter of American colleges and universities jostling for position on a “best colleges and universities” list. The specter of international competition looms on the horizon—particularly in our post-9/11 era, where security concerns, along with increased tension between many countries around the globe and the United States, as well as the immigration issues that have made it difficult for foreign students to obtain visas, have fed a decline in foreign student enrollment, down nearly 3 percent since the 2001-2002 academic year.<sup>35</sup> The number of undergraduate students enrolled in 2003-2004 actually fell by some 5 percent, according to the *Open Doors 2004* report, published by the Institute of International Education.<sup>36</sup> Graduate enrollment is also suffering. A survey by the Council of Graduate Schools, released in March 2006, reported that while in

<sup>35</sup> “USA losing its advantage drawing foreign students,” *USA Today*, January 5, 2006.

<sup>36</sup> One hopes that the 2006 survey by the Institute indicates a possible reversal of this trend: the number of new foreign students at American colleges and universities increased eight percent in fall 2006 compared to fall 2005.



the 2006 academic year the number of foreign students who applied to American graduate programs increased by 11 percent from the year before, reversing two years of decline, that number is still lower than in the years before 2003. In 2003-2004, for example, the number of foreign students applying to U.S. graduate programs decreased by 28 percent and by an additional 5 percent in the following academic year.<sup>37</sup> At the same time, however, another report, again from the Institute of International Education, notes that the number of American students studying in foreign countries totaled nearly 206,000 in 2004-2005, an eight percent increase over the previous year. While in 2002-2003 about two-thirds of those U.S. students attended universities in Europe, enrollments in Latin American universities increased by 14 percent to 27,000. Enrollments in Africa (nearly 5,000) and Oceania—mainly Australia and New Zealand—rose some 16 percent to nearly 13,000.<sup>38</sup>

One also should not overlook the impact of rising tuitions at American colleges and universities, along with the reluctance of some nations to “invest” in American higher education without a guarantee of a return on their investment when their students eventually come home and contribute to national development. In addition, as English increasingly becomes the lingua franca of the world, American universities now face increasing competition from England, Australia, Canada, New Zealand and other nations with quality educational programs that can be delivered seamlessly to foreign students fluent enough in English to plunge right into working on whatever degrees

they desire. Furthermore, many private colleges are emerging that have little or no academic history behind them; modeled on profit more than intellectual or academic excellence, they are essentially educational franchises offering teaching and learning that, in many cases, may be of dubious quality.

To meet these international challenges, American colleges and universities have responded in a variety of ways, perhaps most notably by initiating or expanding collaborative educational ventures, some of which have been in existence for many years, such as the American University of Beirut, which was founded in 1866 as a private, independent, non-sectarian institution of higher learning, functioning under a charter from the State of New York; the American College of Thessaloniki (formerly Anatolia College), founded in 1886 and incorporated under the laws of the State of Massachusetts in 1984; and the American University in Cairo, founded in 1919. More recently, a number of new universities have been established such as the American University in Bulgaria, the American University in Kyrgyzstan, Kazakh-American University, and the American University of Armenia. Other strategies include building extensions of American university campuses abroad. Perhaps one of the best examples of this is Education City in Qatar, where Cornell University has become the first American university to offer its M.D. degree outside the U.S.; Carnegie Mellon offers undergraduate business and computer science degree programs, and other universities such as Georgetown University and Texas A&M have also established programs. In other examples, the Hopkins Nanjing Center, located on the campus of China's Nanjing University and jointly administered by both the Johns Hopkins and Nanjing universities, offers both certificate and degree programs. Stanford Uni-

37 *Findings from 2006 CGS International Graduate Admissions Survey, Phase I: Applications*, Council of Graduate Schools, March 2006.

38 “Foreign Students Enrollment Decline for First Time in Generation,” by Jim Lobe, *Commondreams.org* NewsCenter, <http://www.commondreams.org/headlines04/1116-21.htm>.

versity has established itself in Japan; France's graduate business school, INSEAD, has a campus in Singapore, a Regional Research Centre in Israel and is creating a Dual Degree Executive MBA program in conjunction with Tsinghua University in China focused on "building global mindsets" for "transcultural executives." The United Nations University has thirteen research and training centers around the world; its International Institute for Software Technology has plans to expand throughout Africa and Latin America. (In a related effort, MIT, through its OpenCourseWare program, plans to publish the materials from virtually all of MIT's undergraduate and graduate courses online so they are available to the world.)

These welcome alliances are further strengthened by joint research projects carried out by American universities and institutions abroad, efforts which are in turn reinforced by cooperation among national academies. For example, TWAS (known as the Third World Academy of Sciences until 2004), which is based in Trieste, partners with the African Academy of Sciences, and the National Academy of Sciences in the United States, among others, uniting more than 800 scientists from some 90 countries. As is well known, many foreign leaders have attended American universities, which provides additional incentives to partner with U.S. academic institutions, especially for nations struggling to "catch up" in terms of science and technology or to recover from declines in those areas, as well as economic downslides that occurred during times of political repression or upheaval.

In an unfortunate corollary, it's interesting to note that this same cooperative spirit, which promotes alliances between American universities and international partners, does not seem to thrive domestically. For an American university to establish a partnership with a

foreign university may be seen in the U.S. as a prestigious development, but for an American university to create similar partnerships with other American universities is more the exception than the norm, as at home, it is often seen as a sign of weakness, or at least an indication of deficiencies. This is surprising because, in the United States, cooperation has been one of the hallmarks of our civic society. The late management guru Peter Drucker often noted that the concept of management—which requires cooperation at all levels of an institution or enterprise—originated in our universities and municipal sector. More often, however, as a fellow university president once remarked, "collaboration among universities is an unnatural act performed by non-consenting adults." This is most unfortunate because competition in the short-term can obscure the long-term benefits to be reaped from cooperation.

I have always believed strongly in the need for institutions to cooperate in order to strengthen their ability to do the work they were designed to carry out. At the University of Pennsylvania, when I was both dean and provost, we attempted to form alliances with other universities both within and beyond the Ivy League. But for the most part, those efforts were not successful because while during times of recession or other types of fiscal or operational distress, inter-institutional cooperation may seem like a light at the end of some otherwise endless tunnel, that desire to work together seems to vanish when the pressure is lessened and/or prosperity returns. Why is that? In part, I suppose, because so many institutions—particularly universities—have the same needs in terms of capacity building, human resources and infrastructure, and often find themselves turning to the same sources of support. But perhaps an even larger obstacle is institutional pride: the sense that being the

initiator of a cooperative effort might signal weakness. Also, the notion often arises that one institution might be benefiting more than the other, and that a relationship that appears symbiotic might actually be parasitic, instead. Or perhaps it is just human nature to band together when the going gets tough and then to go one's own way when things get better. I am reminded, for example, of how we quickly formed carpools during the energy crisis of the 1970s when gasoline was hard to come by at any price, but quickly fell back on our habit of relying on our own cars and driving alone when the pipelines began flowing again.

Both at the University of Pennsylvania and later, at Brown University, it was difficult to understand why we could not, for instance, work with other colleges and universities to invite speakers to address our various academic communities. We might, for example, ask an individual who students and faculty at many different campuses would be interested in hearing speak to tour for two or three weeks, while all the institutions shared the costs. On an even more practical level, colleges and universities could also share expenses by jointly ordering supplies such as paper, toner for printers, even pens and pencils, in larger volume, which usually results in an overall savings. But somehow, those proved to be mostly insurmountable challenges in terms of both major issues and minor ones, as well.

Clearly, given all these factors, the time is right to assess and reevaluate the health—and strength—of American higher education without simply assuming that because it has been the best in the past, it will continue to be the best education available in the future. As Derek Bok has noted, “[U]niversities need to recognize the risks of complacency and use the emerging worldwide challenge as an occasion for a candid reappraisal to discover whether

there are ways to lift the performance of our institutions of higher learning to new and higher levels.”<sup>39</sup>

## The Fragmentation of Knowledge

Despite all the challenges they face, America's colleges and universities remain, unquestionably, the most democratic higher education institutions in the world. The American university is popular in the best sense of the term, admitting and educating unprecedented numbers of men and women of every race, age and social class. Students from every imaginable background—and here I speak from personal experience—have found a place in this nation's incredible variety of colleges and universities, public or private, large or small, secular or sectarian. Today, there are approximately 4,000 colleges and universities in our country, including some 1,200 public and private two-year institutions; they enroll more than 14.8 million students and annually grant some two million degrees.

American institutions of higher education continue to play a leadership role in the world, but, as we have seen, their international prominence can no longer be taken for granted. America's intellectual leadership—educators, scholars, scientists, social scientists, humanists, and others—must also become leaders in the area of curricular development and reform. If attention is not paid to the current state of affairs on many American campuses, our nation's colleges and universities will continue to drift in the direction of becoming a “Home Depot” of educational offerings. At the present time, for example, many major research universities often offer up to 1,800 undergraduate courses. Following this approach, there is no differentiation between consumption and

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39 *Our Underachieving Colleges: A Candid Look At How Much Students Learn And Why They Should Be Learning More*, Princeton University Press (2006).

digestion, no difference between information and learning, and often no guidance. Higher education should not be allowed to become an academic superstore of courses that are stacked up like sinks and lumber for do-it-yourselfers to figure out and assemble on their own into something meaningful.

Of course, the fact that this is a problem for our colleges and universities is a reflection of the Information Revolution that may, in the eyes of history, turn out to parallel, even outdo, the impact of the Industrial Revolution. The info-glut has inundated all of us in America, but its most telling effects are on our universities. On campus, the daunting arrival of information in the form of books, monographs, periodicals, films, videos, CDs, DVDs and MP3s has been compounded, in recent years, by an accelerating electronic torrent from millions of web sites and their attendant hyperlinks and databases that exist everywhere at once—at least, everywhere that the Internet can be accessed, which is fast becoming almost every single place on earth. In this regard, it is perhaps interesting to note that J.C.R. Licklider, the head of ARPANET,<sup>40</sup> the precursor to the modern Internet, termed the group of computer specialists he gathered to work on the nascent Net his “intergalactic network,”<sup>41</sup> suggesting his belief that the World Wide Web, when it was finally born, would forge connections beyond and above anything then imaginable. Well, he may have been right, because as more and more of us go online, we are witness to an unprecedented democratization of access to information; hopefully, even to knowledge. While the web of connectivity that the pioneers of the Internet anticipated has indeed developed, it has spawned a troubling corollary:

40 Advanced Research Projects Agency Network (ARPANET) of the U.S. Department of Defense.

41 ARPANET Completion Report, published jointly in 1978 by Bolt, Beranek and Newman (BBN) of Cambridge, Mass. and ARPA.

the continuing fragmentation of knowledge. For the higher education community, this is a particularly serious crisis because the constant, rapid—some say *onslaught*—of information has, by necessity, also brought about the triumph of an age of increasing specialization that has fractured the commonwealth of learning into isolated, silo-like disciplines, which in turn, have splintered into sub-disciplines and sub-sub disciplines and specialties.

This is not a new phenomenon—but its magnitude *is* new. The process of both growth and fragmentation of knowledge underway since the seventeenth century has only accelerated. Writing about the fragmentation of knowledge in the early years of the twentieth century, Max Weber criticized the desiccated narrowness and the absence of spirit of the modern intellectual specialist.<sup>42</sup> It was also this phenomenon of the modern specialist that prompted Dostoevsky to lament in *The Brothers Karamazov* about the scholars who “...have only analyzed the parts and overlooked the whole and, indeed, their blindness is marvelous!” And it was this phenomenon that led José Ortega y Gasset, in his *Revolt of the Masses*, as early as in the 1930s, to decry the “barbarism of specialization.” In modern times, he wrote, we have more scientists, scholars and professional men and women than ever before, but fewer cultivated ones.

Today, the scope and the intensity of specialization is such that scholars and scientists have great difficulty in keeping up with the important yet overwhelming amount of scholarly literature of their own sub-specialties, not to mention their general disciplines. In effect, the university, which our society thinks of as embodying the unity of knowledge, in reality has become an intellectual multiversity

42 *The Protestant Ethic and the Spirit of Capitalism*, Max Weber (Routledge Classics, 2001).

where students often learn to frame only those questions that can be addressed through the specialized methodologies of their particular disciplines and sub-disciplines. Of course, this is not the direction that the founders of American higher education envisaged. One of the earliest promotional pamphlets about education ever published on the North American continent, a 1643 brochure, stated that the purpose of Harvard College was "To advance Learning and perpetuate it to Posterity." Now, however, there is a trend toward what the late educator and cultural critic Neil Postman called "technopoly," namely, "the submission of all forms of cultural life to the sovereignty of technique and technology,"<sup>43</sup> wherein knowledge often recedes and marketable skills become paramount. Postman bemoaned the fact that living in a technopoly has made us a society of technicians and experts, heavily dependent on technology, and we have thereby lost the transcendent sense of the unifying principles and ultimate purpose of knowledge. At the same time, we are also losing the ability to partake of learning and education to the fullest possible extent.

It's not surprising, therefore, that today, the faculties of our universities are confronted with the difficult choices of balancing not only analysis and synthesis but also methodology and the relevant value of course content, thus placing more and more responsibility on students to form the synthesis. "Specialization," as noted the late scholar and professor William Bouwsma put it, "instead of uniting human beings into a general community of values and discourse, by necessity has divided them into small and exclusive categories/co-teries, narrow in outlook and interest." This, in turn, in his opinion, tends to isolate and

alienate human beings. "Social relations...are reduced to political relations, to the interplay of competitive and often antagonistic groups. Specialized education makes our students into instruments to serve the specialized needs of a society of specialists."<sup>44</sup>

Of course, the same information technologies that have been the driving force behind the explosion of information, growth of knowledge and its fragmentation, and hence, the age of specialization, also present us with profoundly integrative tools for meeting the challenge of that fragmentation. When we are not shuddering at the challenge of coping with the info-glut, we must marvel at the way the world's store of information is increasingly at our fingertips, thanks to such advances as voice recognition software and translation software that automatically translates one language into another. Information scientists—including our high-tech librarians—are also making greater use of digitization, turning information written on paper or recorded in other media into electronic form, and of artificial intelligence to automate information management tasks, including "data mining," the practice of having a computer continuously monitor and filter information according to set objectives.

This is an exciting age because for the first time in history, individual citizens can gain access to much of the world's store of knowledge. They can use their desktop, lap-top or hand-held computers to access the Internet, which has become an electronic version of the Library of Alexandria, which was founded in the third century B.C. by Ptolemy 1<sup>st</sup>. That was the first institution based on the premise that all the world's knowledge could be gathered under one roof—and for nine centuries it was a place of inspiration and scholarship.

43 *Technopoly: The Surrender of Culture to Technology*, by Neil Postman (Alfred A. Knopf, 1992).

44 William J. Bouwsma, "Models of the Educated Man," *The American Scholar*, vol. 44, Number 2, Spring 1975.

Today, technology is radically modifying the space/time constraints of communications channels and offering great opportunities for making connections among disciplines and across disciplines. Online communications, for example (web sites, e-mail and the like), have provided new tools and opportunities for the scholarly community to share resources, though we must not forget that while the Internet, satellites and fiber optics have advanced communication, the raw input is still human speech and human ideas. The university remains at the nexus of these developments—the public commons where ideas and technology meet and interact. Thus, the process of assimilating new information technologies can help us think hard and deeply about the nature of knowledge and even about the mission of higher education itself. But progress in using technology to integrate disciplines on campus has often been disappointingly slow. Unless higher education does a better job of teaching students how to synthesize and systematize information, our society faces many problems. In his book, *1984*, George Orwell described a world in which information and true knowledge were denied and propaganda substituted for both. In the twenty-first century, citizens can be denied knowledge by being inundated with mountains of raw and unconnected data. Our faith in computers may also tend to deceive us into thinking that whatever is not in the computer or data bank does not exist. If that were to happen, we would be in danger of being disconnected from archival material, unrecorded oral traditions, un-digitized manuscripts and anything else not placed on the Internet.

Many concerned educators are attempting to find solutions to this dilemma. There are, for example, numerous models for how universities might help students bring some structure to the vast amount of information to which

they are constantly exposed. Thematic seminars and interdisciplinary team teaching are two ideas; others include examples such as an integrated course on the origin of the cosmos that might involve a geologist, an astrophysicist, a mathematician, a philosopher, an expert on religion, and so forth, providing a multi-dimensional view of the subject. Such a course might introduce students to the Ptolemaic, Copernican and Einsteinian views of the earth and the universe, allowing students to become acquainted with critical elements of science, philosophy, history and religion. Another example might be exploring the concept of *agape* and *eros* in several literary traditions including Western, Islamic, Buddhist, and others, which would mean learning about three or more different cultures. One could teach a nuanced and multifaceted sense of how recent events have impacted regions around the globe, bringing together scholars from different disciplines to explore comparative and competing ideas and theories about both recent and historic events.

The above are examples of how one may develop a deeper understanding of certain ideas, topics, and disciplines. This means that colleges and universities must teach students not only what we should know, but also what we don't know, and also discuss what the limitations of knowledge are. This is not a new challenge—it goes way back to the Socratic notion that true knowledge is knowing what you know *and* what you don't know. So while the computer allows us to access more information—faster and in a more usable form—we must keep in mind another of Neil Postman's warnings: "The computer cannot provide an organizing moral framework. It cannot tell us what questions are worth asking"<sup>45</sup> or even why they should be asked.

45 "Informing Ourselves to Death," speech by Neil Postman given at a meeting of the German Informatics Society on October 11, 1990, in Stuttgart.

## Leadership of an Evolving Institution

While dealing with the many issues—such as those addressed above—that the leadership of a university must confront, it's still essential to keep in mind that the main purpose of a university is to be an educational institution. This does not mean that the university's administration is not also preoccupied with the task of dealing with the many business, economic, legal, social, political and cultural aspects of university life and of the university's interactions with its many constituencies, but these efforts must never overshadow the focus on education. That's why a university exists: to educate people, and in carrying out that mission, the faculty is still its *raison d'être* and its curriculum is its compact with the current generation of students, and with future generations, as well.

The university curriculum is not a menu that can be changed from day to day. In some instances, it has centuries of tradition behind it, and the courses that comprise the curriculum are taught by individuals who are constantly researching and enriching their knowledge of their fields, so their teaching is, and should be, the very essence of the evolution of thought and learning. As a result, there are always times when every university has to reexamine the nature, scope, character and content of its curriculum. Sometimes, of course, curricular changes can't wait; in the case of professional or business schools, for example, courses may have to be adapted to the demands of the marketplace and the expectation of the professions that students are preparing to enter. In other instances, especially in regard to undergraduate general education, there are competing philosophical and methodological schools of thought. There always has been and always will be debate as to what should be taught in order to train not only those going into specific

professions but the “ordinary citizen” student as well—what do they need to know about history, about their society, about their culture, about the culture of others; about values, social mores, not to mention about competing spiritual and religious schools of thought, competing economic theories and systems, and about the evolving global context of just about everything they will be learning during their years in school?

While he was president of Princeton University, Woodrow Wilson is supposed to have observed, “It is easier to transfer an entire cemetery than to change a university curriculum,” and in my experience, he has certainly proven to be correct. Proposed academic changes are not seen by faculty as abstract intellectual arguments or discussions but as vehicles for redistributing the university's resources. They are seen as zero-sum games in which there will be winners and losers because curriculum changes, for example, may dictate “faculty slots,” and hence will engender competition among departments, schools, and many other realms of the university. So, there is great reluctance to accept change unless it is beneficial—in this order—to one's department, one's school, the allies of one's school, one's profession, and then, finally, to the university.

Though curricular leadership is, ultimately, vested in the faculty and is also the responsibility of the university president or his or her provost, the quality of the president's leadership will not be judged by performance in this one area alone. Many factors will contribute to how the president is perceived both inside the university and outside, including what type of leadership route he or she follows. There are, in fact, many different types of leaders: some people choose to lead by persuasion or by winning the confidence of different constituencies. There are other leaders who temporize, follow

the flow and try to keep everyone and everything on an even keel, walking gingerly among competing factions on campus while trying to maintain peace. Focusing on “tranquility,” however, is almost never in the long-term interest of the university. While following such a course of action, the president may ignore serious problems, leaving them for his or her successor to deal with, and may rationalize doing so by suggesting that since the faculty and trustees approved of the presidential actions—or inactions, as the case may be—then the president is not at fault if future administrations have to deal with issues that have been “left behind.”

Other presidents may become overly concerned with their own popularity or legacy, which is also counterproductive for the university. In that connection, I remember that, years ago, I read that one should not be like a flag whose direction is governed by the wind but like the flagpole that provides stability. When presidents go in accordance “with the wind,” trying to gauge the external, internal, or political currents at a university without having a clear educational philosophy or a plan of action, they are following a potentially disastrous course. The integrity of the president’s leadership may suffer and again, the long-term interests of the university are unlikely to be served. I believe it is critical that a university’s various constituencies understand that both the institution’s long- and short-term interests are being taken seriously by those in charge and addressed with great care, honesty, and dedication. This means that the president and the university’s leadership must be in agreement about the fact that they are accountable for the decisions, actions and policies of their administration. They must also be willing to recognize when mistakes have been made and similarly *unwilling* to rationalize failure.

The specter of failure—as well as of potential conflict—can hang over any leader’s administration, especially if one has opted to emphasize “peace at any price” rather than a healthy respect for unavoidable conflict and its equitable resolution. What my experience has taught me is that any source of tension carries with it the potential to isolate those in leadership positions, but that doesn’t have to be the case. When I was a teacher and later, as a university administrator, I believed it was a normal aspect of university life for there always to be conflict—between “old” views and “new” views; between students’ ideas and those of their professors; between the beliefs and ideologies espoused by some and those cherished by others. And why not? A university, after all, is a center of debate and discussion about every conceivable issue that may come up in the classroom, from racism, to immigration, to ethics, to civil rights, to religion, to secularism, to the validity of scientific theories, to war and peace, nationalism and internationalism, and everything in-between. In the midst of all this, it would be naïve to think that tensions could be avoided, or that conflicts were an aberration. By their very nature, universities thrive on the energy of ideas, theories and notions rubbing up against and challenging each other, and the fact that the university environment encourages students and faculty to pursue these different ideas and different pathways is something to be celebrated, to be grateful for. And it’s not just academic and ideological tussles that the university and its leadership get drawn into; add to the mix the town-and-gown conflicts that often come up along with other disputes and problems that may arise between the university community and its neighbors, and it’s clear that a president can’t simply sit comfortably at the top of the heap and hope that everything always goes well. It won’t. So one cannot bury one’s head in the sand nor can



one view isolationism as a secure option. One has to take positions. One must speak about his or her ideas and convictions, and stand up for one's principles—otherwise, what is the point of having any?

With that said, however, it must be noted that all of the utterances of a president—even those individuals who have turned themselves inside out to be popular and to “maintain tranquility”—will be scrutinized, and any inconsistencies exploited. It is important that the rhetoric used in addressing issues and problems be consistent with reality. All of a president's life is constantly placed under a microscope and examined to determine whether in both his or her professional and private life, the president is acting in concert with the values of the university and considers him/herself part of the community, subject to the same rules and regulations as everyone else.

A president's behavior can come in for particular scrutiny during those times when there are labor, faculty or student strikes affecting the campus. If presidents' salaries are too high, their amenities too plentiful, these matters will surely become an issue. And if a president himself or herself becomes a source of controversy, dealing with that will also consume a lot of time and energy and distract from the progress of the university. It will also likely cause many in the community—including the faculty—to feel that the president is not “sharing their burden,” particularly if his or her salary is raised and theirs is not. (That is not to say that university presidents don't deserve to be paid well; indeed, until recently, most only served an average of three-and-a-half years because of burnout. It is a lonely job, because it's difficult for a president to form friendships with faculty or administrators since that leaves him or her open to charges of favoritism. This has to be balanced against the fact that a university is a

not-for-profit enterprise in which teachers and educators predominate and are expected to both exemplify and represent the values and traditions of the university.) Traveling first class on airplanes instead of economy, driving an expensive car, staying in top hotels or dining in pricey restaurants, all these actions will be noted and measured against what others in the community do—especially in a small town where everyone knows what everyone else is doing. Leaders' “perks” might be considered irrelevant—at least to some extent—in the corporate world, but they can easily become a matter of heated public discussion and debate and used as weapons in the university context. One must always remember that perceptions that go unchallenged many become substitutes for reality.

Let me provide an illustration from experience. Right after arriving at Brown, I asked one of the union stewards, Bill Bell, the simple question, “How are your families?” He said, “Funny you should ask—our families have never been on campus except when they have walked the picket line with us.” I asked him what he would do about that if he were president of Brown, and he said he'd give a big annual party for the families of all the workers so that everyone felt included as part of the Brown community. I thought that was a brilliant idea, so I decided to do that. Every year at Brown, we held a campus-wide holiday party for two days, inviting the staff, faculty, their families, and students. Thousands of people came and there was skating, students singing, bands playing, games, food, refreshments—a grand celebration of Brown and all the members of its extended family.

During my tenure at Brown, we made it a point to emphasize the importance of the campus community and the significance of ceremonies and special occasions to the

various constituencies because they helped to strengthen ties between all the different segments of the university. Commencement ceremonies, honors awards, parents week, special concerts or readings to celebrate a particular event—even special days to honor secretaries and staff—were all important. When unfortunate occasions arose, I attended funerals and memorial services for retired professors and staff, or helped to plant trees in remembrance of students and faculty who had died, because these were ways of strengthening the university's bonds and honoring its past. To celebrate the present, Brown instituted practices such as flying the flags of all the nations from which our students came and inviting the ambassadors of their countries to be present at ceremonies or even speak at the university. And to welcome the future, we continued to open Brown's famous Van Wickle Gate each year for the opening convocation of freshmen and greet them as they marched through. We also inaugurated a dinner in honor of the freshmen and gave another dinner in honor of the senior class. By the time of the senior dinner, I had come to know many of the individual students who I had welcomed as freshmen very well.

Such efforts take a lot of time and a lot of work, but they are enormously rewarding and they are necessary if a university president is committed to being the kind of leader who stands for the values of the university and represents everybody on campus. They also do away, symbolically, with any kind of visible “upstairs/downstairs” hierarchy and highlight the unity of the entire university community.

It is always valuable to address the entire university community about challenges to the institution rather than speak separately to different constituencies. In that way, only one message is being delivered and that helps lead to confidence in the president's public state-

ments. The faculty and other constituencies then don't have to compare notes in order to divine presidential pronouncements or analyze discrepancies between practice and rhetoric.

One of the unique characteristics of the presidency of a university is that every gesture, every action, big or small on the president's part contributes to how well he or she is able to bring the community together and how the community will support the president, the institution—and each other—in times of difficulty. The test often comes when a genuine crisis arises because it is then that leadership can make all the difference in how an institution and those who are responsible for it are viewed not only during the crisis, but long after. In an essay on “Presidential Leadership in a Time of Crisis,”<sup>46</sup> Philip L. Dubois, then president of the University of Wyoming, who, in the first seven years of his tenure led his university through crises that he calls “notable by their number and scope”—including the murder of Matthew Shephard,<sup>47</sup>—makes the point that “there is no substitute in times of community trauma for one comforting voice. And although every rule probably holds its own exception, that voice at a university must be the president's.” In that same vein, it is also useful to remember that, for a university president, “while good deeds often go unnoticed, crises never do. This is because your stakeholders...are measuring your conduct during the crisis. They know that a crisis does not *make* change—it *reveals* character.”<sup>48</sup>

46 *University Presidents as Moral Leaders*, edited by David G. Brown (American Council on Education/Praeger series on higher education, 2005).

47 Shephard was a gay student at the University of Wyoming. In 1998 he was severely beaten and subsequently died, an incident that drew both national and international attention.

48 Murphy, Sean K. “Crisis Management Demystified: Here's How to Prevent a Crisis from Ruining Your Institution's Reputation.” *University Business*, February 2003.

Immediate crises notwithstanding, confrontations with the possibility of failure and looming sources of conflict and tension are hardly phenomena that will be forever frozen in time. Just as the future can be seen as a moving target, so, too, are the difficulties that can seem most pressing on any given day, because problems change and evolve, just like everything else that affects the life of an institution. This is particularly true at a university, where elements of the community, such as faculty and alumni, tend to remain stable, but where at least one major constituency changes every single year (sometimes, every semester)—I mean, of course, the great waves of students who come and go, over time. Every year, a class graduates and a whole new class arrives, its members bringing with them new ambitions, new goals, new ideas about how to live their own lives and interact with the world around them, plus new groups of parents and often new social and cultural issues—both national and international in scope. These students, in essence, are the new citizens of the university community—or at least, citizens in the making who are seeing their society and themselves in completely new ways. They are both observers and participants, working out in their minds and in their lives how they will approach their futures. They often have idealized what the university experience will be, not realizing that, like life itself, the university environment and even the educational experience is always in flux. The gap that may arise between the expectation and the reality of the university experience (and by extension, that of society at large)—supportive of cultural experiments, socially responsible, laboratories of change and idealism—can itself sow seeds of conflict and tension. Existing inconsistencies are often perceived as institutional hypocrisy, so students have to be engaged on that front and their concerns dealt with directly and honestly.

Hence, every year the university community is again faced with the challenge of educating, acculturating and absorbing into the larger community a whole new population of individuals who are variously anxious, excited, tentative, competitive, confused, shy, outgoing, brilliant, moody, average-, over- and under-achievers—and sometimes, a little bit of all those things and more. For me, seeing this ebb and flow every year always made me think of what Margaret Mead called “the whole gamut of human potentialities” that connects us all and of the duty of each generation to the ones that follow after and those that have gone before. This is a profoundly important concept for both the faculty and administration of an educational institution, since part of their responsibility is to help students not only craft a vision and a plan for the path that their own lives will follow, but also to make them understand that they have an indispensable role to play in the future of our nation and our society. In essence, educating an individual centers around imparting knowledge, but in a larger sense, it is also about preparing that individual to be a good ancestor—someone who, by being educated, will be able to both honor the past and improve the future. For Brown, that meant that our students would use the education they worked so hard to acquire not only for their own benefit but also to contribute to strengthening the institutions of our democracy and to embody, throughout their lives and careers, the values of a free society. These include the freedom to follow one’s conscience, freedom of thought, respect for the rights and responsibilities of individuals as well as the rights of the minority *and* the majority—even the freedom, simply, to follow one’s dreams.

The president’s role, however, is not confined to the university alone. The responsibilities of the office extend beyond the campus. As

Albert Yates, president emeritus of Colorado State University has written, “The challenges facing college and university presidents are not materially different from those in charge of any other large organization, but the responsibility for leading with virtue is greater because of the role that our institutions play in society...higher education remains our society’s conscience—institutions that are empowered to question and challenge, that are expected to instill values and character, and that are perceived as standing for more than the pursuit of a healthy bottom line.”<sup>49</sup> I absolutely agree.

### **Mobilizing Resources: Alumni and Trustees**

Whether they admit it or not, universities are in a perpetual fundraising mode. As dean of the Faculty of Arts and Sciences and as provost of the University of Pennsylvania and later, as president of The New York Public Library, I had been involved with two major and very successful fundraising campaigns. Penn’s campaign, launched in the fall of 1975, was called the Campaign for the Eighties and was designed to raise \$255 million to maintain its fiscal stability, improve its physical infrastructure, and to implement some of its ambitious academic goals—this in a time when both the nation’s economy and the university’s finances were suffering. We met our target. For the Library, a public/private partnership not only raised over \$327 million, as noted earlier, but also helped the institution to reclaim its preeminent position as a national treasure. The experience of these campaigns gave me the ingredients—and the inspiration—to be daring on behalf of Brown and its future when I became the university’s president.

Like the Library and the University of Pennsylvania, I knew that Brown did not have

to justify its existence, but it did need to articulate its mission and central role in the higher education firmament, it did need to get the attention of those who took it for granted and didn’t understand or appreciate the integral role that Brown plays not only in the civic, cultural and educational life of Providence and Rhode Island, but the nation, as well. It was important to me, first at the Library and then at Brown, that these institutions not be seen as some sort of cultural relics or historical dinosaurs but as dynamic, evolving institutions determined to cope not only with the requirements of the present but the challenges of the future, too. For that to happen, we needed to implement bold, even audacious efforts that were nonetheless consistent with Brown’s mission, history and unique character. We also needed the participation and support of the entire campus community. It was equally important to acknowledge the progress that had been achieved in the past by giving credit where it was due, keeping the engagement of those who had been loyal supporters of Brown while mobilizing those who, before, had not been invited into or felt truly a part of the Brown community.

All this, in fact, is what happened: in 1992, the university embarked on the most ambitious capital campaign in Brown’s history, a five-year project called the *Campaign for the Rising Generation*. At first, the university’s Trustees approached the campaign with trepidation thinking that our aspirations were unrealistic, but that soon turned into fierce determination to achieve the high goals we had agreed upon.

The majority of our faculty participated in the campaign, as did parents, students, staff, alumni and friends of Brown, all of whom responded with astonishing generosity, demonstrating just how committed the entire Brown extended family was to the university. The validity of our “daring” plan was confirmed at

<sup>49</sup> David G. Brown, op cit.

the campaign's midpoint when Brown alumni and alumnae, parents and friends, responding to a survey from the development office, expressed their support for the campaign's goals and endorsed their importance. This commitment was highlighted by such acts as the Class of 1945 giving \$1 million to the campaign to mark their fiftieth reunion, the largest fiftieth reunion gift in Brown's history. The ultimate goal of the campaign was to raise \$450 million; by the time the effort was concluded in 1996, we had raised \$534 million from 55,000 individuals, foundations and corporations.

For many universities, campaigns are not only about money—they are a metaphor for telling or retelling the history of the institution. Such was the case with Brown, which relied not on a financial legacy but on the depth and breadth of talent, hard work, determination, innovation and academic excellence. It allowed us to connect—or reconnect—the people of Rhode Island and indeed, people across the nation, with the importance and contributions of Brown to the United States. It also helped us to reach out to the alumni, not just of Brown but also of Pembroke College, the women's college founded at Brown in 1891, which had merged with the university in 1971. It was a way to educate parents and students about the institution they had chosen over other universities by providing the historical context of Brown's academic development as well as highlighting the direction of its future. In addition, the campaign served to remind foundations and corporations about the university as a source of invention, research, innovation, education, experimentation, imagination, creativity and of course, scholarship. Campaigns are also a means to commit, or recommit an institution's governing Board to their stewardship of the institution and to recruit new Board members—both alumni

and non-alumni—who will give not only their time and expertise but also financial support. These goals were also accomplished.

Mobilizing the alumni is certainly important in terms of fundraising, but it is absolutely essential in rallying support for any significant university initiative or reform. After all, it is these individuals who invested a good part of their youth in the university and staked their future on the education it provided them. They hope to take pride in their alma mater and to see real evidence that it has a regional, national and even international impact. They expect their university to continue to do justice to its traditions, adhere to standards of excellence and uphold its values—and they are not afraid to let the administration know if they feel let down in any of these areas...

In their capacity as members of governing boards, Trustees are a major influence on our universities. The critical role they can play in enriching the quality of an institution's work at all levels was brought home to me when I was dean, and later provost, at the University of Pennsylvania. At that time, I came to know Henry Salvatori, a very interesting, well-read, cultured, conservative businessman who had helped to launch Ronald Reagan's political career. Salvatori, who graduated from the University of Pennsylvania, Class of 1937, had a critical mind. Whenever I went to Los Angeles, where he lived, I made it a point to see him. I remember that he always castigated the shortcomings of Communists, socialists, liberals, libertarians, Democrats, and even some conservatives and Republicans. One day, I asked him what he thought was the greatest weakness of capitalism and he replied that the corporate world often gathers together tremendous talent for the purpose of legitimizing their actions rather than for providing expertise and enlightenment. His words made a tremendous impres-

sion on me, and from then on, whether at The New York Public Library, at Brown University or at Carnegie Corporation of New York, I have made a conscious effort to engage the talents of Trustees and, when possible, tap their expertise on behalf of the institutions I have headed rather than expecting them to merely legitimize institutional decision making—and in doing so, the Library, the university and the foundation have been the beneficiaries.

In that connection, I was fortunate at the Library and at Brown University—and now, at Carnegie Corporation—to have worked with extraordinary Trustees who have focused on contributing to the formulation of institutional priorities without imposing their own personal biases or giving in to the temptation to micromanage. After all, managers can always be hired. The role of Trustees is to provide long-term policy guidelines for an institution and ensure accountability for how the institution's leadership implements those policies. This is particularly true for Trustees of institutions such as libraries, universities and foundations, which are obviously fundamentally different than for-profit business enterprises. They are extremely complex enterprises with a historical identity, a particular culture and many different constituencies with many different expectations of them and for them. They require the time and attention of very special individuals with deep insight into the indispensability of these institutions to America's national life.

It would be fascinating, I think, for someone to do a study of the people who serve on the Boards of the 4,000 public and private colleges and universities in the United States. Who are the individuals who accept the role and responsibility of being a Trustee? What motivates them to serve in the tradition of voluntarism that is one of our nation's great contributions to the world? What has been

the legacy of these men and women? There are any number of different motivations for becoming a trustee of such institutions: among them are those who are carrying on a family tradition (in some cases, more than one or two generations may succeed each other on a board); those self-made men and women who take pride in the fact that they can return to their university as a Trustee; those who join out of a wish to serve or to learn, or to enter into a community of ideas. In particular, I have always found the commitment of those college and university Trustees who are serving their alma mater to be a moving and even inspirational combination of duty, pride, and a commitment to public service.

Many parents of foreign students and the students themselves, who receive no financial aid and pay full tuition to attend American universities, find it difficult to understand this kind of dedication, and especially the fact that Trustees often make substantial donations to their university—as, of course, do many alumni. This combination of service and philanthropy is unheard of in many societies outside the United States. In fact, America's public and private institutions are extremely fortunate that the tradition of service in our nation is so deeply ingrained in its citizens, including so many prominent individuals who feel a moral obligation to use whatever social, political or business-related platform they have earned through their own success—as well as, often, their private wealth—for the benefit of future generations.

In the process of serving, some Trustees get extremely attached to their organization or institution, not only intellectually but also viscerally. For universities, one of the challenges in these situations is to ensure that Trustees' interests—even devotion—are not "captured" by certain special interests at the university for the

benefit of a particular school, a particular department, or a particular professor's (or group of professors') specific research interests. Board members have an obligation to see themselves, and conduct themselves, as Trustees of the entire university and must be sure that, even inadvertently, their loyalties, their personal philosophies and their preferences are never mobilized against fellow Trustees, or against the university administration or the president. Such situations can lead to paralyzing factionalization that is always harmful to the university, and will be particularly damaging during times of crisis. A university is not an extension of the Trustees; their job is not to cast their shadows over the institution but to ensure that the legacy of past generations as well as the accomplishments of the present continue to provide for continually deeper and richer educational opportunities for tomorrow's students. John Gardner, Carnegie Corporation's former president (1955 to 1967), once said that universities have always had both their lovers and their critics, but the critics have seldom been loving, and the lovers have seldom been critical. "On the one side," he warned, "those who loved their institutions tended to smother them in an embrace of death, loving their rigidities more than their promise, shielding them from life-giving criticism. On the other side, there arose a breed of critics without love, skilled in demolition but untutored in the arts by which human institutions are nurtured and strengthened and made to flourish. Between the two, the institutions perished."<sup>50</sup> I would add that yet another danger is being meddlesome. Well-meaning individuals who can't stop themselves from inappropriately or repeatedly commenting on or trying to intervene in institutional affairs can wreak havoc. I've seen it happen.

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<sup>50</sup> "Uncritical Lovers, Unloving Critics." Commencement address by John Gardner at Cornell University on June 12<sup>th</sup>, 1968, the 100<sup>th</sup> anniversary of Cornell.

A common denominator for Trustees of all nonprofits, especially colleges and universities, is their role as symbols of institutional integrity, accountability, fiduciary responsibility, and oversight of the course and direction of the institution. One of the most important roles a Trustee will ever carry out is helping to select a leader who is worthy of the institution that the Trustees have dedicated themselves to and empowering that individual to help fulfill all the institutional potential that the Board, as well as previous Trustees and presidents, have set out to achieve. Having served on more than forty different nonprofit and institutional Boards during the course of my career, I was able to acquire first-hand knowledge of the culture of Boards of Trustees, their different styles and different *modus operandi*. Based on this experience, it seems clear to me that in the case of universities, where there are always endemic tensions coupled with the awesome responsibility to oversee not only the quality of education provided by the institution but also the physical well-being of thousands of students, there are always going to be problems—some of them very serious—that will thrust the institution into a spotlight for which it may not have been prepared. The political utterances of faculty members; exhibitions of "offensive" art; the "unruly" behavior of young men and women; student newspapers publishing "tasteless" articles; the performance—or "nonperformance"—of athletic teams; and dozens of other issues and actions on the part of any individual or segment of the "city-state" I previously alluded to can prompt anything from a minor uproar to a full-fledged crisis that can be devastating for all involved. When this happens, not only the president but the Trustees will find themselves in the eye of the hurricane. How well the storm is weathered will depend in large part on the insight, sensitivity, experience and cohesiveness of the Board and its members' relationship with the

president. If the Trustees have chosen the right individual for the job of leading the institution, then chances are that after the crisis has been dealt with, the university, its leadership and its students will be stronger and perhaps even more appreciative of each other than they were before.

### Delicate Balances

Throughout my years in academia, I came to appreciate not only that a university is extraordinarily complex but that, in many instances, it also has two separate cultures that coexist—sometimes uneasily. One is the academic culture, with its roots in medieval Europe and the Mediterranean. This culture is very proud of the fact that even though it tolerates the notion that a university must have a vertical organization, it still thinks of itself, in essence, as having a horizontal structure, where all the faculty members, regardless of “rank or privilege” are equal, because all are members of the commonwealth of learning. (In practice of course, the faculty is highly stratified, with its own peculiar hierarchy. The university professor, the tenured or untenured professor, the holder of an endowed chair, the lecturer, adjunct professor—each knows who is “above” and who is “below.”) To these individuals, the president of the university is not really the boss: he or she is there to lead and serve them, and at the same time to be the shield that will protect them and their privileges from the encroachment or threat of outside forces. The president is also expected to create and maintain the atmosphere and conditions conducive to the free exchange of ideas and the unfettered pursuit of knowledge, as well as protect academic freedom. In addition, the president must oversee a second culture—an actual corporate culture—that is preoccupied not with academic issues but with all the financial, legal and fiduciary issues that governance entails and hence, is essential for the functioning of the university.

While many Trustees appreciate the complexity of universities and their academic culture, nevertheless, their language, their terms of reference and other touchstones are, by necessity and experience, corporate and managerial in nature. This is entirely natural, as Board members deal with the institution’s investments and other financial matters, with infrastructure, contracts, management issues, legal obligations, etc., while also interacting with the development office, through which Trustees not only help the university raise funds, but also deal with alumni and governmental relations.

One of a university president’s greatest challenges is how to manage the delicate balance between these two cultures—indeed, how to bridge the gap between them. Maintaining equilibrium can be particularly difficult if the president has joined corporate boards, which pay very well.<sup>51</sup> The chairs of those boards sometimes also serve on the university’s board. This is often justified as “building bridges” between the university and the business world, and as necessary for the university’s welfare. The fact that a university president serves on a corporate board may also be pointed to as an indicator of how much the corporate world respects the university president’s abilities as a leader. Still, such arrangements may be fraught with problems. The university community, for example, may see conflict-of-interest questions arising if the university is doing business with the corporation of which the university president is a trustee. In such instances, merely abstaining from votes or not participating in business that involves the corporation and the university may not be enough to eliminate the *appearance* of conflict-of-interest issues. In addition, when a corporation faces a major legal or ethical problem, the university president who is

<sup>51</sup> University presidents joining corporate boards is a relatively new phenomenon; the practice became more common beginning in the 1970s and 1980s.



a member of their board may get dragged into the situation even if he or she has nothing to do with it—and, by extension, that may also reflect poorly on the university itself. Furthermore, for a president to belong to many corporate boards may result in yet another dilemma: how not to be perceived as tilting towards the corporate culture in terms of maintaining the delicate balance between the worlds of business and academia that, as we have seen, is one of the university president's responsibilities. If a president has to belong to corporate boards for the purposes of income or reputation or influence, it is advisable for him or her to give equal time to service on nonprofit boards in order to balance both worlds. Of course, serving on *any* board should not prevent a president who is paid a full-time salary from devoting all the time, energy and attention necessary to the university that expects and deserves the president's best efforts. And he or she needs to be aware that a president who "moonlights" cannot apply strict rules to faculty not to do the same and hence, create a situation where both the president and faculty members are so engaged elsewhere that they are not serving the university to the best of their ability

The tension between the academic and corporate cultures creates all kinds of dilemmas. I've witnessed situations, for instance, where the president of a university tried to please both constituencies by telling each what it expected to hear. In this instance, the president of a university may commiserate with the governing board—most of whom are from a corporate culture—by decrying the difficulties he or she has in dealing with tenured professors (which nowadays some refer to as "tenured radicals") who have never met a payroll, don't know anything about the need to keep an eye on the bottom line, make impossible demands, have unrealistic expectations even though some

of them are not even "good teachers" or have not fulfilled their potential as scholars. This same president, in dealing with the faculty, may complain "in confidence" about how Trustees are meddling; have no appreciation of the intrinsic values of a rarified educational institution like a university; do not understand or cherish the principle of academic freedom; and he may imply that some of the Trustees are well-meaning philistines who are only on the Board by virtue of their money and their success in the business world.

This kind of doublespeak is dangerous, and as a strategy, it's destined to fail because instead of closing the divide between the two groups, it ends up making it even wider and in the process, undermines the president's authority with both camps. What often happens when a problem or crisis arises is that the two formerly opposing sides close ranks, leaving the president out in the cold. The two sides may even work together to facilitate the president's exit. This was not an uncommon scenario during the era of protests over the Vietnam war and civil rights, when there were many instances—*too* many—of university presidents who promised to follow contradictory policies. We have certainly seen instances of the same thing happening in recent memory.

Still, it's very difficult for the president not to be pulled in at least two different directions at once. For instance, while university Trustees will certainly support the president's commitment to excellence and his or her dedication to maintaining high standards, especially in the case of the best universities, at the same time it is natural for them to want the university to be well run and well managed, be fiscally sound, and have a strategic plan in place with benchmarks for judging progress. They also want their institution to more than measure up to sister institutions in every category, both academic

and administrative. Trustees are also concerned with cost-effectiveness, as of course they must be—as should the president be—since the long-term well-being of the institution is very much in their hands. But in this regard, problems often arise in times of economic downturn when hard questions have to be asked such as, where should economies be made?

In terms of “making economies,” one phrase that resonated throughout my experiences at the University of Pennsylvania, The New York Public Library and at Brown University was “deferred maintenance.” I learned that you can always have a balanced budget through deferred maintenance, but deferred maintenance, unless you have specifically planned for it, quickly becomes planned neglect. When I arrived at Brown, there was a huge backlog of such “deferred” projects, including buildings and facilities that were in desperate need of renovation. Sometimes, I used humor to deal with situations in which this kind of neglect was a factor. For example, the dormitories at Brown had been built shortly after World War II and many of these had not been kept up since—but I joked that we charged a lot for students to live in the dormitories because they were carrying out a historical reenactment! Eventually, of course, we did address their restoration, issuing \$33.5 million in bonds, when interest rates were very favorable.

Sometimes, when rehabilitation was not sufficient, and a new building was needed, the university naturally sought a donor or donors to secure the necessary funds. Such instances taught me an important lesson: that accepting money for construction of a building without securing the funding to maintain it is a way of contributing to “deferred maintenance.”

The lure of a major gift for any purpose is enticing; it's viewed as a coup when it's an-

nounced—a plus for the university with no downside—which often leads many involved to forget that accepting money means making a real commitment to do what the money was intended for, such as build a facility or endow a professorship. So, in the long run, the gift could actually end up adding to the overall deficit. When a professorship is endowed, for example, and an individual is hired, the faculty probably sees only salary; the department chair sees salary plus office space and secretarial help; but someone in the university administration has to take all that into account along with benefits, health care, pension, new computer equipment, a parking space, etc.—in other words, all the costs involved need to be totaled and that, over time, may amount to significantly more than the original gift.

At Brown, during my tenure, the university's priorities were the faculty, the library and financial aid for students, but it was impossible to fully meet the funding requirements they all generated. If one was hoping to realize all of the above priorities equally, there were only three choices: invade the endowment, rely on annual giving as if it was an always-reliable and steady source of income, or borrow from federal authorities to pay for capital improvements. I did none of these things because I felt that to do so would entail mortgaging the future of the university.

Other potentially dangerous plans involve quietly increasing the size of the student body and enlarging class size in order to bring in additional revenue; spending a higher percentage of the endowment return than has been the usual practice; cutting staff and faculty travel; even delaying filling needed faculty positions.

In recent years, the pressure on the budgets of institutions of higher education has only grown more severe because of a new factor:

technology. I have touched on many of the challenges technology presents to the modern university, but perhaps one that looms largest is the price tag for these advances. When you analyze the costs involved in acquiring and maintaining all the technology required by the present-day university, including hardware, software, new staff, maintenance costs, bandwidth, even new facilities, the enormity of the ongoing investments that will have to be made becomes apparent. It is not just the sciences or other technology-related disciplines that require more and more resources. *Our Cultural Commonwealth*, a recent report from the American Council of Learned Societies, notes that the humanities and social sciences will also have to make larger investments in the systems, personnel and practices that support the digital infrastructure that is now essential to academia. In times of austerity—which most higher education institutions must face once in a while—the balance between the pressures to keep the university academically excellent and on the cutting edge of technology, while also maintaining its infrastructure in top condition, may be hard to achieve. What Trustees want to see happen in terms of dealing with rising costs are either economies that can be imposed over the long-run and result in continued savings or new revenue-enhancing measures that are equally forward looking. But if these measures—as well as short-term solutions that may be imposed in an emergency such as hiring part-time or adjunct faculty with lower pay, no benefits and often, no office space—are seen by the faculty and students as interfering with the culture and mission of the university, or with its educational (or even social and cultural) offerings, the two groups may find themselves on a collision course.

Let me illustrate this point with a specific example. Two of the universities I've served, Brown and the University of Pennsylvania,

have excellent Egyptology departments. Both are well endowed, but since there aren't a huge number of individuals who want to train to become Egyptologists, these departments, in comparison to others, don't enroll all that many students. So, how do you justify the continuation of such expensive programs on a cost-benefit basis? For Trustees steeped in free-market economics, where there is a clear-cut relationship between demand and profit, there may be real questions about the sustainability of excellence that cannot at least pay for itself. But for academics, there is an equal sense of incomprehensibility at the idea of trying to measure their accomplishments or their educative success on the basis of Wall Street-type "quarterly" results.

Egyptology may not be central to a university's core undergraduate curriculum, but it is essential—in the case of both Brown and Penn, for instance—to maintain the universities' century-long tradition of excellent scholarship and research in an area critical to our understanding of the development of civilization. When, as at any university, there is virtually day-to-day competition for funding and resources, where do you strike the balance between support of long-standing and proven excellence, with new needs and new opportunities? It is a continually vexing question.

Some institutions rely on the "each tub on its own bottom" idea, where each school establishes its own priorities and has to find ways of paying for them. Some areas of study, of course, attract more students—and thus more funding in terms of tuition, alumni giving, etc.—than others, so even at "rich" universities, schools such as those of divinity, social work, education, and architecture will almost always be working from a much smaller financial base than their counterparts (such as business, law, and medicine, for example). In such an environment, student enrollment

and demand may well determine the educational offerings of the university. But if you're relying on that kind of measure, do you make a purely mechanistic calculation and abandon something like Egyptology, no matter how important or valuable the department? Or do you set yourself and your institution the task of finding a way to continue to honor the seeds of excellence that were sown in the past and preserve knowledge and scholarship for posterity? This is where presidential leadership is critical and where the values of the president, as well as his or her eloquence, intellectual acuity and ability to make the "cost-plus" argument on behalf of knowledge and wisdom, are called upon and must win the day.

University presidents have an obligation to explain to Trustees, policymakers and the public that not everything at the institution—neither courses nor fieldwork nor research nor any other of a hundred ways that knowledge is continually pursued and preserved by human beings—can be measured in terms of cost-benefit. Presidents often have to play the role of advocate for history, tradition and scholarship that cannot be quantified in purely dollars-and-cents terms. Can you put a price on providing the world with a translation of the Gnostic bible or a decoded version of the Sumerian dictionary or revelations deciphered from Manichean literature or courses in medieval music, Icelandic sagas, ancient Arabic poetry and so forth? Not everything of value to civilization exists in or was created to serve only some conception of present-day reality. By that measure, objects in a museum that are not frequently viewed or books not continually checked out of a library could be discarded as being of little or diminished value.

There can be a very delicate balance between what must be preserved for what one might term the greater good of civilization and

the very real needs and obligations of a university to maintain its financial health and competitiveness by offering programs and courses that students will pay for and that donors will support. Another element in the mix is the often divisive and frustrating debate that can go on among professional schools, the arts and sciences, business schools, etc., where one argues that, well, our teacher-to-student ratio is seventy-five to one, while Egyptology, for example, is two-to-one, so which one is clearly cost-effective? The answer, for me, is that the question is not relevant: each part of a university fulfills its own role and has its own purpose, but taken together, they have an overall purpose that is more than a collection of courses—a university is the very definition of the saying that the whole is more than the sum of its parts.

Meeting all these kinds of challenges are tasks that fall squarely into the lap of the university president, because it is the president who is ultimately charged with rallying all of his or her constituencies to go forward into their collective future, not by finessing them in some way or trying to buy time by such expedients as setting up committees "to study the matter" and so forth, but by *leading* them, by standing up for the institution's core values and convincing even warring factions that neither winning a feud nor hiding tensions behind a façade of tranquility should be anyone's ultimate objective: the well-being of the entire university community and the excellence of the education provided to students must always be paramount.

This is especially true of a lame-duck president who may have announced his or her retirement or resignation. In that situation, the president should not put difficult or critical issues on the back burner for a successor to sort out. Indeed, it is incumbent on an outgoing president to try to resolve as many vexing problems as possible so that the first job of the new

president is not to deal with the failures and unmet challenges of previous administrations. That won't do the university any good, nor will it help the president's reputation.

## The Business of Education

Universities do not exist in a realm apart or protected from the rest of society; they are an integral part of its social, intellectual, economic, and cultural fabric. In fact, one can make the case that they are even more than that: the philosopher and intellectual historian Arthur O. Lovejoy's assessment of how universities serve humankind certainly qualifies them as part of what he called the "Great Chain of Being"—an essential element of the linked hierarchy of ideas and principles that stretch from the lowest manifestations of life to an as-yet unrealized perfection.<sup>52</sup> As Lovejoy wrote, "The university is not only a vehicle for transmitting to successive generations knowledge already gained; it is...the outpost of the intellectual life of a civilized society, the institution set up on the frontier of human knowledge to widen the dominion of man's mind."<sup>53</sup>

In other words, the past really *is* prologue. Every day on the university campus, students and teachers are reaching back into the past for knowledge and wisdom, mixing them with the ideas of today and looking forward to what may come in the future. Given this context, it is not hard to see why, although universities have almost every feature, concern and responsibility of a business (including physical plants, organized labor unions, bookstores, shops, dispensaries, hospitals, a security force, maintenance staff, investments, purchasing departments, technology requirements and often even their own bus or other transportation

system to carry students safely around campus or between the university and its environs), institutions of higher education continue to see themselves not primarily as for-profit enterprises but as sanctuaries of education, focused on providing the next generation with as much knowledge, experience and wisdom as possible. Many universities, however, are in denial about the business-oriented nature of much of what they do. They take great pride in their dedication to their educative mission and their nonprofit status, and go to great lengths to make clear that they are nonprofit institutions dedicated to altruistic goals.

Perhaps that's why when scandals erupt at universities, they are often viewed as more shocking than in other sectors of our national life. We somehow expect scholars, educators and university leaders to remain above the fray, even though the same tensions, scandals and corruption inherent in everyday society certainly exist on campus, as well. But as centers of learning and education, endeavors generally perceived as introspective in nature and objective by definition, people expect universities to be better than that—in part, because their focus is supposed to be not only on the past and the present, but also on the future. So, when it comes to issues concerning students—and interestingly, labor unions as well—institutions of higher education are expected to act as if they belong only to the culture of academia, where, in theory, high-minded, ideal solutions will always prevail over cold financial realities and where justice, meted out by student/faculty "courts" is supposed to be more humane, more balanced and fair, than the courts of the "real" world. It is as if universities are charged with coming up with model answers for all the ills that beset society: racism, sexism, religious prejudice, inequality, the income gap and just about anything else you can name. What the

<sup>52</sup> *The Great Chain of Being: The Study of the History of an Idea*, by Arthur O. Lovejoy (Harvard University Press, 2005; Harper Torchbooks, 1960).

<sup>53</sup> *Encyclopedia of the Social Sciences*, 1930.

entire K-12 education system could not accomplish, the democratic city-state that is the university is expected to handle with infinite sagacity. In effect, universities are expected to be utopias of a sort, built upon the loftiest values, inculcated with the most irreproachable ideals and possessed of a vision that allows them to see everyone as equal along with the ability to provide parity to everyone, including all those who have in any way been disenfranchised by economic circumstances, physical disability, sexual, racial or religious intolerance, or any other social, cultural or political infraction.

This is a terrible burden. Every social and cultural ill that can beset a human being and that has not been erased or at least modified through twelve years of elementary and middle school education, through the loving offices of family life or the intervention of a whole host of public and private institutions dedicated to improving the welfare of American citizens, somehow becomes the responsibility of the university to deal with in order to produce the next generation of America's professionals and achievers. Since universities cannot meet these extraordinary expectations, everyone involved experiences a sense of letdown—even betrayal. University leaders, therefore, must moderate their rhetoric and not over-promise what they can deliver as part of the process of educating adults. While education is an invaluable foundation for intellectual and even emotional and psychological development, it cannot solve every problem that everyone who walks through a university's gates may have, nor was it designed to.

Education and enlightenment are, of course, not the only considerations that the university community is concerned about. Avoiding the fact that business is part of the academic environment as well as university operations and functions is not productive. What is required is an understanding of the ramifications

of this mix of modalities, because these days, universities are actively seeking business partners to make up for cuts in public funds and to meet the ever-increasing costs of both pure and applied research and even graduate education, where universities may subsidize the arts and sciences in order to remain competitive.

This is especially true nowadays, when the line between “public” and “private” universities is increasingly blurred. In “the good old times,” public universities in the U.S. relied almost entirely on public funds while private universities were supported by tuition fees, alumni giving and research funding. This division, however, is no longer clear cut. Johns Hopkins University, for example, receives more federal funding for its research activities than any other American university,<sup>54</sup> but it is only one of many, many private institutions competing for state and federal support, while public universities increasingly are turning to private foundations, individuals, and corporations for funding infusions. On the other side of the equation, the University of Virginia, a public institution founded by Thomas Jefferson in 1819, today receives less than 10 percent of its funding from the state of Virginia. An example of a public university that does continue to receive a substantial amount of its support from the state—22 percent—is the University of North Carolina at Chapel Hill, which was also recently included in a list of the top 50 global universities compiled by *Newsweek*, a remarkable achievement.<sup>55</sup> Notably, in an era of mass higher education, this mixture of support will only continue to be seen on an international scale: since no nation-state can afford to finance the entire cost of its citizens' higher education, government, private-sector

54 Anne K. Walters, “Industry Support for Academic Research Falls, but Federal Aid Rises,” *The Chronicle of Higher Education*, May 12, 2006.

55 *Newsweek*, International Edition, August 21, 2006/ August 28, 2006.

research support, alumni giving, and students themselves, through tuition, will continue to be among the sources of funding that will increasingly have to be tapped.

As universities and corporations continue to forge ever-closer partnerships, particularly in the area of research, these arrangements raise the specter of university research being pulled out of its orbit of free inquiry, its transparency muddied by exclusive contracts entered into with industry and business. In addition to presenting potential challenges to academic freedom, other critical questions arise from these associations such as, to what extent do public universities engaging in corporation-supported research actually serve the public good by helping to create drugs or contributing to inventions that belong, first, to the companies that paid for their development? In Britain, for example, the push toward "technology transfer" has kicked into high gear, with both government and corporate pressure being brought to bear on universities to find more ways of turning research into saleable products. Arguing against that trend are those such as Nobel laureate Arthur Kornberg, who has noted that multi-million-dollar support from NIH enabled him to carry out research on DNA for 30 years, "without any promise or expectation that this research would lead to marketable products or procedures." Public funding led to the development of the first computers; the Internet is an outgrowth of network communications created by the Defense Advanced Research Projects Agency, the most academic arm of the Pentagon. It is unlikely that the long-term, basic research that led to these world-changing inventions would be a priority for the outcome-oriented budgets of companies in the U.S. or abroad. So another question that must be raised is, to what extent is basic research unnecessarily speeded up or bent to the needs of the compa-

nies that invest in university research programs? It should be noted that in this regard, corporations are not the only interested or influential parties: in recent years, there has been increasing pressure from the public as well as from local, state and federal government agencies for research to produce quick, measurable and impactful results, particularly in the area of medicine and health care. And are university-based research agendas being compromised by pressure from external commercial forces? When businesses hold the purse strings and dictate the timetable by which research is to be conducted, outcomes may be influenced as well as ownership of research products. In some cases, the governance of a university may also be affected if quality standards are set by corporations instead of by the university itself. These issues may be particularly difficult to address for some states still resisting the need to respect academic freedom and transparency in government and business dealings. Sooner or later, however, they will have to be confronted by even the most closed societies.

In terms of the United States, the increasing loss of public funding for higher education prompted Mark Yudof, president of the University of Minnesota, to write an article with the bleak title, "Is the Public Research University in America Dead?"<sup>56</sup> Between 1986 and 1996, he notes, state spending on higher education fell 14 percent, with universities losing budget share to other priorities, including prisons and health care. And while the rate of growth in federal support for university research continues to soften, over the last three decades, funds provided to U.S. universities by the industrial sector grew faster than funding from any other source. Industry spent \$2 billion on scientific research and development

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<sup>56</sup> Mark G. Yudof, "Is the Public Research University in America Dead?" July 2001 (unpublished article.).

at U.S. universities and colleges in 1999, according to the National Science Foundation;<sup>57</sup> in 2001 (the latest year for which such figures are available), industry provided 6.8 percent of funding for academic research, a slight decline from a high of 7.4 percent in 1999.<sup>58</sup>

As the nation's pioneer in basic research, the university faces a difficult challenge. How can it maintain leadership in pure research if distracted by research for the marketplace? In the past, the university's challenge was maintaining independence from federal regulators; the current challenge to academic freedom in research is to keep some degree of well-defined independence from industry and business. For as James Bryant Conant, one of Harvard's illustrious presidents, once wrote, "There is only one proved method of assisting the advancement of pure science—that of picking men of genius, backing them heavily and leaving them to direct themselves."<sup>59</sup>

Clearly, the increasing commercialization of university research has the potential to be a corrupting influence if economic necessities force faculty to surrender some of their prerogatives. When industry sponsors university research, it may affect the faculty's research agenda in ways that directly and indirectly discourage pure research in favor of research with commercial applications. The challenge is to balance theoretical and practical research—and to protect the individual rights of the faculty, the collective rights of the university and the integrity of research.

Of course, there are two sides to the argument about commercializing research that comes out of universities. In 2006, the Milken

Institute reported that leading universities that spend money on helping academics turn their research into commercial ventures see a sixfold return on their investment,<sup>60</sup> which is certainly an impressive incentive. On the other hand, says Ross De Vol, lead author of the report,<sup>61</sup> commercialization should not be seen as a solution for general funding shortfalls in higher education but as a means to recoup some of the costs of research.<sup>62</sup>

One of the most controversial examples of a university-corporation relationship is the five-year alliance that was created between Novartis, the life-sciences company based in Switzerland, and the University of California at Berkeley's Department of Plant and Microbial Biology. Since 1999, the company had been paying the department \$5 million a year for the right to license a portion of what the researchers discover. Some said it would strengthen the department; others worried that research with less commercial potential would inevitably be phased out. When the arrangement ended, it was not renewed, and in 2004, reviewers at the University of Michigan Institute for Food and Agricultural Standards issued a report critical of the \$25 million research deal, saying that while no commercial discoveries came from the agreement and the Berkeley researchers say they weren't unduly influenced by Novartis, the Michigan reviewers asserted that the questions of perception raised by the arrangement had cast the University of California at Berkeley in a bad light and caused undue controversy and ill will.<sup>63</sup>

57 "Science in Class," by Daniel Zoll, *The San Francisco Bay Guardian*, March 21, 2001.

58 "Bioscience Warfare," by Alison Pierce, *SF Weekly*, June 2, 2004.

59 James Bryant Conant, "National Research Argued," Letter to the Editor, *The New York Times*, August 13, 1945.

60 "Top Universities See Sixfold Return on Technology Transfer," *Financial Times*, September 20, 2006.

61 *Mind to Market: A Global Analysis of University Biotechnology Transfer and Commercialization* (Milken Institute, 2006).

62 "Top Universities," op cit.

63 *External Review of the Collaborative Research Agreement between Novartis Agricultural Discovery Institute, Inc. and the Regents of the University of California*, Institute for Food and Agricultural Standards, Michigan State University, July 13, 2004.



The University of California at Berkeley is hardly the only university that has tried to parlay its reputation and its expertise into hard dollars. MIT's Industrial Liaison Program, for example, charges corporations membership fees that have ranged from \$50,000 to \$70,000 for services that their web site describes in purely commercial terms: "MIT's Industrial Liaison Program (ILP) is your one-stop shop for MIT expertise. The vast resources of MIT—one of the world's outstanding research universities—can provide a rich vein of technological and managerial innovation that will help sustain your competitive advantage for decades to come."<sup>64</sup> Today, quite a few universities are following these examples—and in my view are right to charge corporations for their work. After all, many corporations have for years been the beneficiaries of university research—isn't it only fitting that they now return the favor?

Still, the question must be raised of whether there is a danger that education will become a well-defined business ruled by the law of supply and demand. Adrianna Kezar, associate professor for higher education, University of Southern California, suggests it is, writing in a recent research report, "With most of the observable trends in higher education moving in the direction of responding to the demands of business, new technology, distance education and building partnerships with nonacademic communities, the humanities and the centrality of classroom teaching are being side-stepped."<sup>65</sup>

Given these concerns, it seems evident that a major challenge for universities, both in the United States and increasingly, abroad, is how to maintain their independence as their relationships with the business sector grow more

interdependent. Perhaps in this day and age one cannot live without the other, but we must be watchful to ensure that the independence of universities and the objectivity of their research is not compromised.

## The Rights and Responsibilities of the Faculty

Today, it is not just the academic integrity of the university that is sometimes under assault but also the vitality of the faculty. If the faculty is the core of the university, as I firmly believe it is, then it follows that the university is as strong, or as weak, as its faculty. Anything that fragments or diminishes the faculty also fragments and diminishes the university. Hence, I view the widespread trend toward part-time faculty as a major factor that may eventually undermine the faculty and the strength of the university.

In recent years we've reached the point where most teachers are part-timers, adjuncts and graduate students. In fact, the growth of part-time faculty has been phenomenal, nearly doubling between 1970 and 2003, from 22 percent of the faculty to 44.<sup>66</sup> Unfortunately, administrators rely on these part-timers to reduce class sizes and to teach more subjects at more times, including nights and weekends. In doing so, the major motivation seems to be to reduce university costs by paying part-timers a small fraction of what tenured faculty earn for a similar amount of work.

A report released by the Coalition on the Academic Workforce,<sup>67</sup> an association of the leaders of disciplinary societies, confirms the growing dependency by higher education institutions on part-timers. After surveying departments in ten social science and humanities fields to discover which types of faculty members

64 [http://ilp-www.mit.edu/display\\_page.a4d?key=H1](http://ilp-www.mit.edu/display_page.a4d?key=H1)

65 Adrianna J. Kezar, "Faculty: ERIC Trends 1999-2000," ERIC Clearinghouse on Higher Education, U.S. Department of Education, Institute for Education Policy Studies, ERIC #ED-446652, 2000.

66 <http://nces.ed.gov/pubs2005/2005172.pdf> (p. 7).

67 *Who Is Teaching In U.S. College Classrooms? A Collaborative Study of Undergraduate Faculty, Fall 1999.*

teach what courses, and what kinds of pay and benefits the professors receive, the coalition made these findings: Freestanding composition programs have by far the highest proportion of classes taught by part-time and graduate-student instructors (31 and 34 percent, respectively) and the lowest taught by tenure-track instructors (15 percent). Except in history and art history, full-time tenure-track professors teach fewer than half of the introductory undergraduate courses offered. In English, composition, foreign languages, and philosophy, full-time tenure-track instructors teach only a fraction of such courses, ranging from 7 percent to 34 percent. In different disciplines, graduate-student instructors teach anywhere from 7 percent to 34 percent of all undergraduate classes, and up to 42 percent of introductory courses.<sup>68</sup>

Let's face reality: more and more, part-timers resemble piece workers, comprising a growing underclass in the ranks of the faculty. Their status is reflected in their pay and the absence of benefits: in recent years, only 23 percent of history departments have offered any benefits to part-timers, while in other disciplines, only about 40 percent offered benefits. As for salary, even teaching four courses a term, part-time faculty members are paid at a rate—less than \$3,000 per course on average—that puts them in an equivalent salary range to fast-food workers and baggage porters.<sup>69</sup> Additionally, if a class should be canceled for lack of enrollment, which can occur a few weeks into the semester, the adjunct instructor may not be paid at all. They typically do not have the use of a computer or office and, in some places, aren't even allowed to buy an on-campus parking permit or have their names listed in the campus phone directory.

68 "Report Details Colleges' Heavy Reliance on Part-Time Instructors," by Ana Marie Cox, *The Chronicle of Higher Education*, November 22, 2000.  
69 *ibid.*

The increasing shift to a part-time faculty also poses a major threat to academic freedom. As was noted in the *The Chronicle of Higher Education*:<sup>70</sup> "Here's a news flash for people who care about academic freedom: Half the professoriate does not have it. Adjuncts are getting dumped for things tenure-track scholars do with impunity—teaching controversial material, fighting grade changes, organizing unions. One part-timer was dropped after trying to talk about pornography in an ethics class. Another was ditched after racist words came up in a communications course. Then there was the professor who got fired for harassment after he mentioned tampons and anal sex in a pathology class."

In this type of situation, of course, the controversial statement or research project is not mentioned in the letter of dismissal. The offending part-time instructor is simply told that his or her contract isn't being renewed because of declining enrollment, a scheduling conflict or lack of budget or some other administrative excuse. We all know tenure is not a perfect system. Many things are wrong with it, but, on the whole, it has protected academic freedom. Without it, inadequate job security and related concerns about income and professional advancement may nurture the worst kind of censorship—self-censorship. And that, in fact, may be why we hear so little publicly from faculty members about national and international issues confronting the United States and the world.

The lack of job security and academic freedom inevitably takes its toll on the quality of teaching by part-timers. P.D. Lesko, the head of the National Adjunct Faculty Guild, has said that part-timers "are terrified of being

70 Alison Schneider, "To Many Adjunct Professors, Academic Freedom Is a Myth," *The Chronicle of Higher Education*, December 10, 1999, p. A18.

rigorous graders, terrified to deal with complaints about the course materials, terrified to deal with plagiarists. A lot of them are working as robots. They go in, they teach, they leave. No muss, no fuss." But Lesko adds: "If you're afraid to give an honest grade or an honest opinion, you're not teaching."<sup>71</sup>

Essentially, the challenge posed by the trend toward part-time faculty is the erosion of quality in institutions of higher education. Academic freedom cannot thrive in a setting where half the faculty do not have secure jobs, and universities cannot easily separate economic security from academic freedom and autonomy.

In that connection, it is useful to revisit the concept of academic freedom as well as how and why it took hold in the United States. A seminal model of academic freedom developed in Germany in the eighteenth and nineteenth centuries, where such academic leaders as Nicholas Gundling, Rector of the University of Halle, and Wilhelm von Humboldt defended the freedom to teach and the freedom to learn.<sup>72</sup> Indeed, Humboldt cited academic freedom as one of the essential principles of the modern university when he founded the renowned University of Berlin in 1812.<sup>73</sup> The position of professors in Germany after the reunification of the country in 1870 under Chancellor Bismarck, however, was protected by their status as civil servants and hence, they could only be removed from a post for due cause. There were also more traditionally American antecedents to academic freedom. Arthur Levine, president of the Woodrow Wilson National Fellowship Foundation, has described the period between the 1870s

and the first World War as one in which the faculty suffered a great deal of interference from businesses, donors, Trustees, government and religious organizations. Levine writes, "At universities across the country from Stanford to Yale and Vanderbilt to Wisconsin, professors were fired or threatened with discharge for taking what were judged the wrong sides of controversial issues such as Darwinism, public ownership of railroads, immigration, alcohol prohibition, bimetallicism and U.S. entry into World War I. The academic remedy for these intrusions," Levine notes, "was the creation of tenure, a mechanism designed to insure professors academic freedom by granting them permanent appointments or lifelong employment after a probationary period."<sup>74</sup>

In any event, it was not until the early twentieth century that the idea of shared governance, the centrality of the faculty and academic freedom prevailed in the American university. A major player in this struggle was the American Association of University Professors, and especially its Committee on Academic Freedom and Tenure. A significant landmark was the committee's first report, in 1915, which was very influential in promoting academic freedom as an essential prerequisite for research, instruction and the development of leaders and experts in the service of the public. Essentially, the committee maintained that professors should be accountable primarily to the public and to their profession, and that university governance should recognize those priorities. In one of its more colorful passages arguing for the right of free inquiry, the report asserted that "Such freedom is the breath in the nostrils of all scientific activity."<sup>75</sup>

71 *ibid.*

72 Paulsen, F. (1919). *Geschichte des gelehrten Unterrichts. Erster Band* (pp. 534-535). Leipzig: Verlag von Veit.

73 Fallon, D. (1980). *The German university: A heroic ideal in conflict with the modern world* (pp. 28-29). Boulder, CO: Colorado Associated University Press.

74 Arthur Levine, "The Soul of the University," *2000 Annual Report*, Teachers College, Columbia University.

75 Richard Hofstadter and Walter P. Metzger, *The Development of Academic Freedom in the United States* (New York: Columbia University Press, 1955).

Academic freedom has emerged and survived in America, but we all know that freedom is always tested. During the nation's wars and the Cold War, there were many assaults against academic freedom—usually under the banner of nationalism, patriotism, or national security. Thankfully, these assaults have generally been thwarted, and the setbacks have been temporary. Academic freedom has become an integral part of the fabric of our university and our democracy. It has become intertwined with the First Amendment protection of free speech. The First Amendment and academic freedom go hand in hand, but academic freedom may be more powerful because the university provides an institutional context for collective as well as individual exercise of free speech—the university, in essence, provides a public forum for free inquiry and speech. Academic freedom has been the hallmark of our democracy, repeatedly supported by our courts. In a 1957 United States Supreme Court decision, the Court stated: “To impose any straight jacket upon the intellectual leaders in our colleges and universities would imperil the future of our nation. . . . Teachers and students must always remain free to inquire, to study, and to evaluate, to gain maturity and understanding; otherwise our civilization will stagnate and die.”<sup>76</sup> And ten years later, the Court called academic freedom “of transcendent value to all of us,” and described the classroom as the “marketplace of ideas.”<sup>77</sup>

People have criticized academic freedom for allowing cynics, radicals, and even racists and all kinds of people to express all kinds of opinions. But a suppressed opinion, I believe, is worse than an offensive one. (In a classroom, for example, a professor should be free to admit a particular bias towards a particular point of

view about a subject or an issue and to express that point of view. It is, in fact, the professor's responsibility to be honest about such leanings with his or her students. It is also the professor's responsibility to provide students with a bibliography or other means of learning about conflicting ideas and opinions.) Freedom of speech, academic freedom, cannot be rationed and cannot be dispensed piecemeal; it is a single entity belonging to all. The hallmark of a university cannot be the presence of a little bit of intellectual freedom, or freedom just behind closed doors, or freedom just for liberals, or just for conservatives or just for radicals, or the exclusive domain of certain organized groups. No, academic freedom must defend the most outspoken, principled and controversial of views—even those held by “a minority of one.”

Here, the name Bertrand Russell comes to mind. A philosopher and a mathematician, Russell was an early supporter of women's suffrage, advocated free love, and labor's right to strike; he was also a pacifist who oddly, also defended the use of violence. As we know, he suffered job losses and imprisonment for spreading his views.<sup>78</sup> On one occasion, he was offered and then denied a professorship at the College of the City of New York following criticism and a lawsuit opposing his appointment. Among other things, the lawsuit described him as being “lecherous, salacious, libidinous, lustful, erotomaniac. . . irreverent, narrow-minded, untruthful, and bereft of moral fibre” and described his philosophy as, “just cheap, tawdry, worn-out, patched-up fetishes, devised for the purpose of misleading the people.” The New York Supreme Court agreed, ruling in 1940 that it was unprepared to create a “chair of indecency” at the university. Russell's irreverent

<sup>76</sup> United States Supreme Court, *Sweezy v. New Hampshire*, 354 U.S. 234 (1957).

<sup>77</sup> United States Supreme Court, *Keyishian v. Board of Regents of the State University of New York*, 385 U.S. 589 (1967).

<sup>78</sup> Spartacus Educational, Teaching History Online, <http://www.spartacus.schoolnet.co.uk/TUrusell.htm>. See also, *Current Biography: Who's News and Why*, ed. Maxine Block (The H.W. Wilson Company, 1941.)

response was to cite the court ruling with other degrees and honors on the title page of one of his books. It read, "Judiciously pronounced unworthy to be Professor of Philosophy at the College of the City of New York (1940)."<sup>79</sup>

Such censorship is no laughing matter, of course. And we know that the alternatives to academic freedom and free speech are ultimately Orwellian and, therefore, unacceptable. At our universities we want to know, and we need to know, what everyone thinks. To think without prejudice and to teach without fear are central to the mission of our universities.

Just as important, academic freedom provides a venue for scholars to be wildly creative in their research, to investigate anything of interest without being constrained by marketplace concerns. This is essential. After all, developing theory is as important as developing practical knowledge. And big ideas generally evolve from small ideas, and small ideas, from smaller ones, still. There really is no such thing as useless knowledge, as the legendary educator Abraham Flexner argued in an essay, appropriately entitled, "The Usefulness of Useless Knowledge." He also noted the paradox that we must live with: namely, that human curiosity—and not societal need—has been the driving force behind most of the really great discoveries benefiting mankind.<sup>80</sup>

So the campus venue for academic freedom is, I believe, a societal necessity. Unfortunately, much of society doesn't appreciate this, and so it remains vulnerable. In his book, *The Story of American Freedom*, Eric Foner writes: "Americans have sometimes believed they enjoy the greatest freedom of all—freedom from history... But if history teaches anything, it is that

the definitions of freedom and of the community entitled to enjoy it are never fixed or final."<sup>81</sup>

To many people, academic freedom is the nutty stuff that goes on inside the Ivory Tower. On some past occasions, the late Senator William Proxmire, perhaps unwittingly, promoted this stereotype with his Golden Fleece awards that publicized apparent examples of what he called the "wasteful, ridiculous or ironic use of the taxpayers' money."<sup>82</sup> He gave one of his awards for a federal research grant entitled, "The Sexual Behavior of the Screw-worm Fly." That, of course, targeted the university for ridicule, which Proxmire subsequently regretted. Years later, at a seminar on biological methods of pest control, he gave special praise to the study on the screw-worm fly for having advanced knowledge in the critical field of pest control.<sup>83</sup>

I believe that if our houses of intellect become timid, defensive or apathetic about academic freedom, freedom of inquiry and freedom of speech, the effect on society, in general, and democracy, in particular, will be devastating. It is the university's role to preserve individual rights and to respect individual dignity, as it is equally the university's obligation to cultivate in the individual a fidelity to the transcendent principles that define the institution and nurture the community. The university's most compelling challenge is to achieve a fruitful balance between respecting the right of its individual members and organizations to operate freely—and fostering a climate for constructive engagement and honest exchange

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81 Eric Foner, *The Story of American Freedom* (New York: W.W. Norton & Company, 1998).

82 Taxpayers for Common Sense, "Senator William Proxmire and the History of the Golden Fleece Award, web site: <http://www.taxpayer.net/awards/goldenfleece/about.htm#original>.

83 Richard C. Atkinson, "The Golden Fleece, Science Education, and U.S. Science Policy." (Lecture delivered at the University of California at Berkeley November 10, 1997.)

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79 Christopher J. Lucas, *American Higher Education: A History* (New York, NY: St. Martin's Griffin, 1994).

80 Abraham Flexner, "The Usefulness of Useless Knowledge," *Harper's Magazine*, October, 1939.

of ideas. In such an atmosphere the university should be able to educate leaders who will help solve some of our vexing political, social and economic problems—not only in this country but also around the world.

### Fair and Balanced?

The debate around academic freedom will be with us as long as there are universities, a free press and—at least in the United States—the First Amendment remains sacrosanct. However, it remains a constant item of discussion for academics and others, and is certainly never far from the thoughts of university leaders. In June 2005, in fact, 21 presidents, vice-chancellors and rectors of American and international universities signed their names to the *Report of the First Global Colloquium of University Presidents*, which was held at Columbia University.<sup>84</sup> One section of the report describes academic freedom this way: “At its simplest, academic freedom may be defined as the freedom to conduct research, teach, speak, and publish, subject to the norms and standards of scholarly inquiry, without interference or penalty, wherever the search for truth and understanding may lead.”

In theory, the above definition seems clear-cut enough to build a university upon, but in practice as the twenty-first century rolls on into its first full decade, modern times have proven that the quest for knowledge and understanding often finds itself in a losing battle when it bumps up against political correctness. The idea of being fair and balanced may have become a cliché, but it is often, nowadays, almost a challenge, because everybody seems to have a different idea of what “fair and balanced” means. In many cases, what people actually mean by the balanced part of that equation is really that they want a particular

argument to tilt in the direction of what *they* believe. In my view, this is a growing problem in society at large, but especially so on the nation’s campuses. Let me cite an example: the web site [www.noindoctrination.org](http://www.noindoctrination.org), which describes itself as having been created by those “who are disturbed that sociopolitical agendas have been allowed to permeate college courses and orientation programs.”<sup>85</sup> On this web site, there were recently 170 postings complaining about lectures and professors that were “objectionable,” “biased,” or even “excessively” biased. One can only conclude that what some students found “biased” must fit snugly into the political, social or cultural belief systems of others. Another manifestation of the move toward institutionalizing political correctness is the trend, on some campuses, of creating “free speech zones,” where anyone can declaim any position they want—which will be objectionable to some, supported by others—as long as they do so within a designated area.<sup>86</sup>

One problem about this emphasis on “correct” or “objectionable” speech is the focus on language, on words. All the effort spent on rooting out the *way* things are said seems to me an easy way to avoid dealing with social, political and cultural issues of such depth and implication for our national life that they defy simple linguistic calisthenics. It is often difficult to separate the fine lines that divide communication from insult and the process of trying to do so can be paralyzing to the point of inhibiting not only speech but also independent thought.

That is why I welcomed each new class of students to Brown University by citing Richard Sheridan, whose 1779 play, *The Critic*, has one of my favorite lines about the paucity of independent thinkers. He wrote, “The number

<sup>84</sup> <http://www.columbia.edu/cu/president/communications%20files/globalcolloquium.htm>

<sup>85</sup> <http://www.noindoctrination.org/aboutus.shtml>

<sup>86</sup> There have been instances, such as in 2005 at Texas Tech University, where courts have declared such zones illegal, as they restrict free speech.

of those who go through the fatigue of judging for themselves is very small indeed!"<sup>87</sup> I urged each class of students to undergo this necessary fatigue and to resist pressures to conform from teachers, peers or those with simplistic political or religious catechisms promising to provide instant solutions to complex problems. I told students that their own thoughts, convictions, beliefs, ideas and principles—their identities and their characters—are their most precious possessions. Change them, if you must, I said, but do not abdicate your intellectual prerogatives, your independent thought, and free will. And do not become victims of cynicism and nihilism, nor passive adherents of so-called “political correctness” because doing so trivializes, marginalizes and ignores our society’s real issues and challenges, including poverty, racism, sexism, discrimination and injustice. The use of the right lingo and jargon is not a substitute for thorough analysis, sound public policy and passionate commitment to action and social change. It is often a way of avoiding taking any action at all.

The pressures on campus to try to hit the constantly moving target of “political correctness” adds more layers of difficulty to the already complex task of trying to distinguish between, for example, free speech and offensive behavior or between students’ individual rights and the rights of the community, in those instances when these may be in conflict. Many universities have a code of conduct and, upon admission, new students knowingly and willingly agree to respect and abide by that code. However, getting such consent from students is not a guaranteed recipe for preventing subsequent conflicts.

When such conflicts do arise, it occasionally falls to the president of the university, as

the ultimate court of appeal, to make what may seem to be Solomonic decisions. As difficult as such episodes may be, presidents should use them, along with other conflicts and crises that arise to uphold institutional values and principles. Even in those instances when a controversy becomes a cause célèbre, it can be an opportunity for the president, the deans and other educators and administrators at the university to use the occasion to teach, to educate, to start important discussions about the truly definitive issues of our times such as balancing rights and responsibility, questions about ethics, about the individual’s relationship to the community—even about the concept of what really are “fighting words.” Here, I should note that I am not talking about an abstraction: in 1991, I faced a major crisis when a student, already on probation for misconduct, was brought before the student-faculty disciplinary committee for shouting racial and religious epithets in a student courtyard at two a.m., while intoxicated. The incident was troubling for everyone because it involved many important issues. Had the student not already been on probation, one could have perhaps rationalized *putting* him on probation if this had been a first incident of misconduct, but it was not, so the disciplinary committee recommended that the student be expelled. The decision was appealed to me, and I backed the committee’s decision because if I had not, it would have brought the validity of our student code of conduct into question as well as the legitimacy or authority of the disciplinary committee itself.

Though my decision was accepted on campus, it sparked a major national debate. Attacks came both from the left and the right; some said it was the hallmark of a “brown-shirt fascist,” and others that it smacked of Puritanism or even Communism. The editorial pages of many newspapers weighed in on the subject.

<sup>87</sup> Richard Brinsley Sheridan, *The Critic* (New York: W. W. Norton, 1779), p. 37.

The episode also created a fascinating coalition of supporters and opponents. Those in favor of my decision ranged from Bill Buckley to Pat Buchanan to Richard Cohen of *The Washington Post* to Clarence Page of the *Chicago Tribune*. Those who disagreed included Nat Hentoff of the *Village Voice* and both the Rhode Island and national ACLU.

As a historian, I was interested to see how the distortion of facts provided ideological weapons for both proponents and opponents of my decision. Some of those who argued with my decision, for example, characterized the incident as having taken place in “the early morning” without specifying that it was two a.m., or said it involved “shouting in the air” without stressing the fact that the courtyard in which the incident took place—unlike Harvard Yard, for example—was very small, with student-occupied dormitories all around, or explaining that students were awakened without also adding that one of the students who witnessed the incident had recorded all the epithets and threats on tape. On the other end of the spectrum, there were those who pointed out that awakening students and then insulting and threatening them—even attempting to hit them, only to be restrained by others—went beyond the limits of “free speech” into the realm of behavior. In regard to both sets of opinions, I was surprised by how many reporters and editorialists never bothered to talk to me about what happened but wrote about it anyway.

This compelled me to make my position about the situation very clear in an op-ed published in *The Washington Post* on April 3, 1991, in which I said, “There is a difference between unpopular ideas expressed in a public context and epithets delivered in the context of harassing, intimidating or demeaning behavior. At Brown, we expect students to know the difference.”

In commenting on the incident and my remarks, a *New York Times* editorial from May 12, 1991, stated, “When the hate is egregious, a university owes itself a firm, principled response.” The *Brown Daily Herald* on April 12, 1991, further emphasized this distinction between speech and action. “[The student] was not expelled for his opinions, or for his arguments,” wrote editor-in-chief James Kaplan. “He was expelled from Brown for verbally abusing other students.” The *Herald* revisited the arguments surrounding the expulsion in 1997, writing that, “Many arguments for speech restrictions deny that hateful speech is protected by the Constitution. Such arguments are based on the fact that hate speech does not advance the spirit of free speech. An essay written by judge and lawyer Simon Rifkind emphasizes this point. ‘Fighting words are unprotected because they do not advance the civil discourse which the First Amendment is designed to promote,’ Rifkind said. ‘A university is a very special community. Speech which is not civil is at odds with the purpose of the campus.’”<sup>88</sup>

Another issue that came up in the context of student and community rights at both the University of Pennsylvania and later at Brown, was expanding the university’s nondiscrimination code to include sexual orientation. The University of Pennsylvania’s Code of Student Conduct includes “the right to be free from discrimination on the basis of ...sexual orientation....”<sup>89</sup> Similarly, Brown’s Standards of Student Conduct states, “All members of the Brown University community are also entitled to live in an environment free from harassment on the basis of such characteristics as...sexual orientation...”<sup>90</sup> In years past, there were times

88 “Speech or Harassment? U. Fights Speech That ‘Sets People Down,’” by Gregory Cooper, *Brown Daily Herald*, October 3, 1997.

89 <http://www.vpul.upenn.edu/osl/conduct.html>

90 [http://www.brown.edu/Student\\_Services/Office\\_of\\_Student\\_Life/randr/conduct/index.html](http://www.brown.edu/Student_Services/Office_of_Student_Life/randr/conduct/index.html)



when this issue dominated the agenda at both institutions. Several years ago, the problem of protecting rights relating to sexual orientation in the university community came to the fore again in regard to allowing military recruiters on campus. The issue lay in the fact that the Pentagon does not allow openly gay individuals to serve in the armed forces. How, then, can a university that bans discrimination on the basis of sexual orientation square its own code of conduct with one that many on campus view as discriminatory? In March 2006, the U.S. Supreme Court answered that question, at least in part, by ruling in the case of *Rumsfeld v. FAIR* that colleges and universities that received federal funds must allow military recruiters on campus. (Now-retired Justice Sandra Day O'Connor did point out, however, that there was nothing in the ruling stopping school personnel and students from making their objections about military recruiting known by posting disclaimers or openly protesting.<sup>91</sup>)

In one specific case I dealt with, I had received letters and petitions from students asking that Brown ban military recruiters from campus because the armed forces discriminate against homosexuals. I decided to research the issue and release a statement about it. Looking into the issue, I discovered that Communist countries (China, Cuba, Vietnam and so forth) had anti-gay legislation, as did some Muslim countries, as well as others. If we were going to discriminate against the United States government for its policies, such as those that adversely affected homosexuals, then wouldn't we have to discriminate against all governments that had similar

policies and all their representatives? What did that mean, for example, in regard to a group of Cuban poets who were expected to visit Brown, a great cultural breakthrough promoted by some of the same students who protested against the military's anti-gay policies—should we even allow them on campus? And was the university ready to forego federal funding over this issue? Where would all of this end?

I concluded that I could not ban military recruiters from the Brown campus nor “ban” students from exercising their right to be interviewed by military recruiters, though I did point out that students could certainly continue to protest against them or boycott the military. For me personally, this was an ironic situation because I had helped to make nondiscrimination on the basis of sexual orientation an official policy not only at the University of Pennsylvania but at Brown, as well. . . .

In many ways, the legacy of the 1960s was still with us on campus in terms of sit-ins, the occupation of campus buildings, protest marches and so on, which continued to take place at universities around the nation in the 1990s—including Brown—over issues ranging from the Gulf War to racism, to tuition hikes, to the rights of campus workers, to financial aid, to disinvestment, etc. In general, I welcomed the fact that many students cared deeply enough about issues to mobilize in protest (or support) of an issue, but many of them acted in the belief that their activities should be without any adverse consequences. Often—and this seemed to be a continuing routine—what happened was that students would organize a demonstration; present “nonnegotiable” demands; then seize a building that they considered a symbol of university authority; after that they would be arrested; and then they would ask for amnesty. Such a building takeover happened only once during my tenure at Brown, when students

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<sup>91</sup> A handful of educational institutions have chosen to do more than protest. The case of *Rumsfeld v. FAIR* was brought by the Forum for Academic and Institutional Rights (FAIR), a group of law schools and professors. Before the Supreme Court ruling, the New York Law School, William Mitchell College of Law in Minnesota, and Vermont Law School, for example—all independent of larger universities—had adopted a policy of foregoing federal funding in order to continue to ban military recruiters.

occupied a university building, demanding that the university declare itself a “need-blind” institution. Over 400 or so students, mostly freshmen, participated in this action.

Rhode Island state law prohibits the occupation of school buildings, so a judge issued an injunction ordering the students to leave the building. The students refused to obey the judge’s order. They wanted to be and were arrested for having violated that and several other state laws (and because they had also violated university regulations). Following tradition, the students asked for amnesty. I refused to grant it, angering both the students and their parents. I praised the students for their convictions, even their actions, but since they had invoked the names of Martin Luther King, Mahatma Gandhi—some even Lenin, Marx, and Che Guevara—I pointed out that the above individuals had never asked for amnesty for their actions but used even their arrests “to educate” their respective publics about the causes for which they were risking their freedom. Furthermore, I would not “punish” the students with community service, as some suggested, because I considered the performance of community service to be an honor, not a punishment. In the end, the students received sanctions and probation, and apologized to the staff members in the building at the time they occupied it, because some of these staffers had been threatened and frightened. My point, of course, was once again to seize the occasion for teaching—to remind us all that actions have consequences. So do principles, and acting on behalf of a belief or a principle also means accepting the responsibility of taking a stand on behalf of what you believe.

### **Admissions**

In my forty-plus years of working in academia, I’ve seen more figurative blood spilled over academic politics than in the “real world” of

political infighting. But a close runner-up in terms of what causes anger, tension, anxiety and controversy on- and off-campus is the issue of admissions. Most universities go to great lengths to explain their admissions policies to potential students and their parents, but the process of applying to and being accepted—or rejected—by a particular college or university still seems mysterious to many, and often, fraught with inconsistencies. As one who has dealt with the issue at close hand, let me offer some observations.

Both private and public universities, especially the most distinguished of them, want to be national—even international—in the composition of their student body. Hence, their common goal is to be as representative of the nation and the world as possible. They try to attract a widely diverse pool of international students, which is considered by many universities not only to be a kind of badge of honor in this age of globalization, but also an important way of exposing American students to the rest of the world while at the same time acquainting people from different regions of the globe with the best of the United States. Universities also try to admit students from as many states of the union as possible. It’s always difficult to enroll students from the smallest states, especially places like North and South Dakota, Montana, Wyoming, Idaho, etc. In that connection, whenever someone asks me about how to get their child into a prominent Ivy League university, I tell them that in addition to having good grades, try to have your child graduate from high school in someplace like North Dakota and have an unusual extracurricular activity, like playing the tuba or the harp, and his or her chances of being accepted wherever they want will increase tenfold.

In truth, prominent colleges and universities could fill all their freshman classes by

admitting only students from a few dozen prep schools and excellent, elite public schools—but they don't do this. All universities make an effort to truly be representative of the nation and the world by actively recruiting the best, brightest and most talented students they can find from every walk of life, every ethnicity, every class, race, background and income group.

Initially, after the race and class barriers were first torn down by legal decisions such as *Brown v. Board of Education* and *Regents of the University of California v. Bakke*, the focus was on making all levels of education, including colleges and universities, more accessible to African Americans, but that effort soon expanded to include Hispanics, Native Americans, Asians and other minority groups, as well as women. Nowadays, most universities also attempt to accommodate the disabled as well, by making classrooms, dormitories and other campus facilities and services accessible to the physically challenged.

But to return to our earlier metaphor of the city-state, universities have other needs in terms of the students they want, or need, to admit: they need athletes to fill out dozens of athletic teams; actors, actresses and dancers to perform in campus productions; musicians to join the orchestra; singers for the choir; writers to staff the institution's literary journals; and of course, students who want to pursue a particular academic direction so that one can match a college or university's academic majors with requisite talent. Institutions of higher education also need journalists for the student newspapers, which—in a trend that defies national statistics indicating that newspaper reading among all audiences, especially the young, is on the decline—are thriving. In fact, they are doing so well that some, like the University of Texas at Austin's *Daily Texan* and the University of Georgia's *Red and Black*, have been able to attract major

mainstream advertising. According to a recent article in *The Wall Street Journal*, the *Daily Texan*, in fact, with a circulation of 28,000 and a web site that attracts 10,600 daily users, “is the core of what has evolved into a \$2.3 million multimedia operation which also includes radio and TV stations, a humor magazine, and an online search tool for apartments. ‘We’re not just selling a newspaper anymore,’ says Brian Tschoepe, student ad director of Texas Student Media.”<sup>92</sup> In essence, some of these newspapers are no longer amateur publications.

With everything universities seek in recruitment of students, there remains a perennial competition with peer institutions. That means, ironically enough, that the fewer students you accept, the better you look, because it means you're being selective—in terms of student measures of excellence. Of course, a university's choices must be affirmed later by an impressive graduation rate and graduate institutions they may choose for their advanced academic work, as well as where they end up on the ladder of success.

Universities must also deal with “legacies”—the expectation on the part of families whose young men and women have been attending a certain institution for generations and have not only entrusted their youngsters' education to the school but also rewarded it by being financially generous. In my experience at Brown, legacy admissions were often considered a slam-dunk by parents and grandparents, and when this was not the case, these individuals were often extremely angry with the university. I certainly always heard about it. I explained many times that admission to Brown was not a birthright and that more than an “inherited” legacy was at issue: the university was committed to striving for a diverse student body, and that meant

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<sup>92</sup> “Big Media on Campus,” by Emily Steel, *The Wall Street Journal Online*, August 9, 2006.

not only racial and ethnic but also geographic diversity, as well as diversity across disciplines and areas of study. There is another catch to the issue of legacy admissions: the university is expected to accept legacy students, but these students are themselves free to choose *not* to come, which may cause parents to feel chagrined after they have made great efforts to get their child admitted. The problem of future generations of these same families may also arise: if the child of an alumnus chooses not to attend the alum's university, what about the children of that child, and so on? How far into the future does the expected "pact" between the university and its graduates extend? At many universities, the whole spectrum of issues surrounding legacy admissions continues to be contentious.

Until recently, a main focus of resentment about admissions was on race, and whether minorities were getting, or should get, "preferential treatment"—and if so, how much? By what formula? Now, one often hears allegations that women, or athletes, or those who can pay their own way without any financial aid, are given special consideration for admission to certain colleges and universities. In the past, quotas existed to keep certain categories of students *out* of certain institutions, or at least, to keep their numbers down. A number of studies have revealed exclusionary practices aimed at Jews and Catholics—which had spread to African Americans and Asians—that were carried out by, among others, Harvard University.<sup>93</sup> Other barriers to racial and ethnic minorities were also deployed.

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<sup>93</sup> *The Chosen: The Hidden History of Admission and Exclusion at Harvard, Yale, and Princeton*, by Jerome Karabel (Houghton Mifflin, 2005). Similarly, *The Qualified Student: A History of Selective College Admission in America* by Harold Wechsler (1977), *The Half-Opened Door: Discrimination and Admissions at Harvard, Yale, and Princeton, 1900-1970* by Marcia Graham Synnott (1979), *Joining the Club: A History of Jews and Yale* by Dan A. Oren (1986), and *The American College and the Culture of Aspiration, 1915-1940* by David O. Levine (1986).

When it comes to admissions, there is no way to satisfy everyone or to be absolutely just, because it is a very complex process. There is no "scientific" method that guarantees complete automatic objectivity or some perfect balance. For example, there are those who suggest that the percentage of men and women at a university should be equal. At Brown, we did not attempt to create any ratio like that even though it would have helped us in dealing with various aspects of Title IX of the Education Amendments of 1972. Having more women than men, ironically, triggered a crisis under Title IX, which prohibits discrimination based on gender in athletics programs of educational institutions that receive government funds. We were proud of the fact that we had a wide array of varsity teams for both men and women—one of the largest programs in the nation—so the fact that we were sued under Title IX came as quite a surprise.

What actually happened was based on a budgetary decision: in 1991, the Department of Athletics changed the standing and financial status of four small varsity teams—two men's teams (water polo and golf) and two women's teams (gymnastics and volleyball)—from university-funded status to donor-funded club status. The U.S. district court ruled against Brown in 1995, saying that the university had to ensure not only equal opportunity but also equal *participation*. The judge said that Brown was not in compliance because its female sports participation rate, almost 42 percent, was not proportionate to the female student population, which was 51 percent. But as an Ivy League school that couldn't give athletic scholarships to build or maintain sports teams, Brown had little control over women's participation other than offering many opportunities to women athletes, which we did: only Harvard had more women's athletic teams. The

decision, which made the front page of *The New York Times*, sent shock waves across the country, igniting a national debate that continues to this day. Clearly, admissions policies and practices—long a source of friction and a target of criticism in the past, will continue to be so for years to come.

Still, no matter what the pressures—whether from the alumni, the development office (who are, for example, eager to maintain alumni loyalty to ensure a steady source of giving and are therefore sometimes too inclined to lobby on behalf of alumni-related applicants), or from any other source, inside or outside the university—the president cannot afford to have a laissez faire attitude about the admissions practices of his or her institution because that can lead to a slippery slope. There may be the occasional violation of established rules, but if “looking the other way” becomes an acceptable, if unspoken policy, it will eventually be harmful to the institution’s reputation, and increase cynicism, and worse, the students admitted because of “preferential treatment” will be burdened with knowing—as others will know—that they did not gain admission on their own merit but because of someone’s generational loyalty, purse strings or political intervention.

At the University of Pennsylvania, as a general rule, I did not intervene in the admissions process in any way. The one time I did become involved, the situation devolved into a case of the dean of admissions versus the dean of the faculty of arts and sciences. When I had recommended the daughter of a foreign diplomat for admission to Penn, I assumed that the dean of admissions would have the courtesy to notify me beforehand of the fate of the nominee. Instead, the first I heard was from the diplomat that his daughter had been turned down. I considered this a breach of etiquette on the part of the dean of admissions

and I challenged his authority to the provost, and the young woman was admitted. I was wrong. The diplomat’s daughter was an average student who, under normal circumstances, would not have been admitted. Chastened by this experience, I was very careful, when I became president of Brown, to distance myself from the actual process of admissions and to protect the dean of admissions’ authority.

Naturally, there were still many Trustees, faculty, and donors who wrote letters to me on behalf of candidates but, as a rule, I did not act on them. As I recently told a reporter who wrote a book about these issues, during my time at Brown—and since I left—over 100 Armenians applied to the university, but very few were accepted. As I am myself Armenian, I joked that being Armenian was an important criteria for being rejected by Brown... No less than the spiritual leader of the Armenian Apostolic Church, who had been my teacher, wrote to me about a candidate from England and I had to inform him that the student had not been accepted. I was also asked, on occasion, whether—as the former head of The New York Public Library—I “rewarded” the benefactors of the Library and their offspring who wanted to attend Brown. My simple answer was that even if I had wanted to, I could not, and if I had tried, I would have left a legion of alienated people behind me.

At most universities, the greatest pressure on the admissions office comes from athletes and their supporters. Advocates for athletic programs want winning teams. They want the best athletes to be recruited. Supporters of athletics often become ardent promoters of candidates for all men’s and women’s sports. This is especially true at big universities with multi-million-dollar sports programs, where sports is important for the financial support of the university and a significant source of recruiting for the student

body. Brown was no exception. Lovers of Brown's athletic programs had formed a sports foundation incorporated outside of the university to support and promote athletics at Brown and to recruit scholar/athletes. The university had no direct authority over this foundation. Eventually, the chancellor and I made a joint decision to bring the foundation and its independent Board under the authority of the president in order to prevent possible circumventions of the university's admissions policies and to protect the dean of admissions from devoted, articulate, and powerful alumni sports advocates. I gave instructions that I must be informed of any interventions or attempted interventions in the admission process, because I wanted it to be absolutely clear that the dean of admissions was the final and ultimate authority on these matters. I also instructed the dean of admissions to bring to my attention all direct interventions on the part of Trustees in the admissions process in order to insulate the process.

I welcomed the fact that Brown had a committee of faculty and Trustees overseeing the admissions process in order to ensure its integrity. I once encouraged them to review a selection of admissions applications with names and other identifying information removed to see which applicants they'd accept or reject if they were the admissions office. They all said it was a sobering experience because of the difficulty of making such choices. For example, how do you weigh the importance of actual accomplishments against the potential you may see in a particular candidate? During a previous Brown administration, the dean of admissions was allowed to admit a number of "Tom Sawyers," taking a chance on them because they had the kind of potential that made them stand out from the crowd. During Brown's *Campaign for the Rising Generation*, it was rewarding to find that several of these "Tom Sawyers," now civic

leaders or successful businessmen and women, had endowed the dean of admissions position as a sign of their gratitude. Frankly, I think it's a good idea to allow the admissions dean five or ten positions on which to take a chance.

The issue of admissions is further complicated by the fact that all universities want to claim that they are need-blind—namely, that regardless of who a student is, where that student comes from, or what his or her needs are, the university will first look at the applicant's academic record and then admit the student without considering whether he or she can pay or not. But it is an unfortunate fact that many universities simply cannot afford the amount of financial aid required to provide admission based on a completely need-blind system. (To provide additional context for that observation, one should note that the National Center for Education Statistics estimates that approximately two-thirds of undergraduates rely on financial aid.) It's also a fact that in terms of Pell Grants, which were meant to equalize the field, the loan component of a student's aid package usually far outweighs the grant amount. Indeed, at the federal level, the major growth in financial aid has been in loans and tax credits for college attendance, not increases in the level of Pell Grant awards.<sup>94</sup> On top of all this, parents have a legitimate right to complain about the privacy issues involved in applying for financial aid, since they have to supply their tax returns and reveal the value of their home, savings, and other holdings.

During my tenure as president of Brown, we doubled the undergraduate scholarship fund, but how to provide tuition assistance to students who needed it while at the same time maintaining adequate support for all the other needs of

<sup>94</sup> "The Perfect Storm and the Privatization of Public Higher Education," by Ronald G. Ehrenberg, The Social Science Research Council, August 17, 2006. (Also *Change*, Jan/Feb. 2006. Vol. 38, No. 1.)

the university was a perpetual balancing act. I addressed these issues head on in 1992 when I formed the Ad Hoc Committee on Financial Aid to review the status and future of financial aid at Brown. That committee issued a report in September 1993. Even before that, in 1986, a special committee of the Brown Corporation had studied undergraduate financial aid and reaffirmed Brown's commitment to it. The 1986 committee noted the same challenges that confronted the 1992 committee when they wrote:

*"...we share the deeply-held conviction of the President...that we can not devote more than the current proportion of unrestricted annual income without an unacceptable conflict with other claims on the same limited resources for other critical University needs—most notably, adequate compensation for our faculty and staff; adequately supported libraries, laboratories, and classrooms; and adequately maintained facilities."*<sup>95</sup>

In 1990, in response to these concerns—namely that the amount of institutional grant aid funded from unrestricted university revenue was rising more rapidly than either tuition income or other university expenses—Brown instituted a new funding model for financial aid, which specified that: 1) Annual increases in the base budget for undergraduate financial aid would be indexed to the increase in total student charges, thereby guaranteeing an annual increase for the financial aid budget to ensure that financial assistance was not eroded over time; and 2) Income from new gifts of endowment earmarked for financial aid would be an enhancement to the base budget, increasing the funding available for financial aid.<sup>96</sup>

The result of these policy changes was a significant increase in the number of students on aid. In 1988, less than 30 percent of the

entering class was on financial aid. In 2000, the percentage receiving scholarships was closer to 38 percent. The financial aid budget had an average annual increase of 9.7 percent during the same period, while total student charges averaged a 5.4 percent increase annually.<sup>97</sup> In recent years Brown has revamped its financial aid program and, beginning with the Class of 2007, the university implemented a need-blind admissions policy.<sup>98</sup> Brown also eliminated a work-study requirement for first-year students beginning with the Class of 2006, and replaced those funds with additional scholarships.<sup>99</sup>

Of course, in addition to the majority of students who need some form of financial aid, there are families who can afford to pay tuition and other fees. This situation caused tensions on campus because these students often felt that their families were "subsidizing" financial aid for others, such as minorities. Sometimes non-minority students who were on financial aid also felt resentment in their belief that tuition assistance was targeted on the basis of race, not on financial need. In order to combat these attitudes, I made a point of conveying the message to the alumni that *no one* pays their full fare at Brown because tuition only covers a portion of the real costs of getting an education at the university. The rest of the money comes from the endowment, annual giving, research overhead, etc., and as a result, everybody in the university is being supported, in one way or another, by a whole variety of funding sources. Given all these issues, I have always thought that the tensions they cause would be eased if the term "financial aid" were changed to "scholarship," so that one could say that just about everyone who attends a university is "on scholarship," not just "the needy."

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<sup>97</sup> *ibid.*

<sup>98</sup> [http://financialaid.brown.edu/Cmx\\_Content.aspx?cpId=58](http://financialaid.brown.edu/Cmx_Content.aspx?cpId=58)

<sup>99</sup> *Black Issues in Higher Education*, October 7, 2004.

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<sup>95</sup> Brown University, Alper Committee on Financial Aid, *Final Report*, May 5, 2000.

<sup>96</sup> *ibid.*

Because as a student I was the beneficiary of scholarships from Stanford and other institutions, it was natural for me to have a strong partiality about securing as much financial aid as possible for American students. For example, while I was at Brown, I was advised that if I admitted three or four percent more foreign students, I would be able to declare need-blind admissions because these students paid full tuition. I couldn't embark on such an expediency because that would mean fewer places at the university for American students and I thought that they (and their parents) deserved the opportunity to attend Brown and to get as much financial assistance as possible.

In retrospect, I think that Stanford's system for providing a student's scholarship money was very wise: you didn't just get a letter saying *Congratulations*, but you actually received a check, with your name on it, which you had to go to an office at Stanford to cash. When I was a student, handing over that check really made me realize that I had actually merited a *scholarship*, not just a loan or financial aid, and that had a deep psychological impact on me. It made me aware that I had earned my place at the university but also that I had a responsibility to live up to the trust that the institution had put in me—and my future—by awarding the scholarship.

### **Excellence as a Public Trust**

Once a student has gone through what many consider to be the "torture" of filling out applications—often to many different universities—and finally being accepted, there is an expectation on their part, and on the part of their parents, that all their years of hard work in elementary, middle and high school, along with the financial sacrifice that many families have to make to afford higher education, are now going to pay off in terms of an excellent education. Public universities, in particular, feel

the weight of this expectation because they were conceived as public trusts to provide not only practical, utilitarian training and education but excellence as well, in all aspects of the teaching and learning that takes place on their campuses.

We must not forget that there was a time in our country when one did not need to fight for recognition of the fact that excellence, democracy and public service are compatible—that they are, in fact, supportive of one another. Indeed, some public universities—such as the City University of New York and the University of California, Berkeley—were for decades considered to be "public Harvards" and to represent the epitome of excellence as a public trust. Unfortunately, for the past several decades, the public has been led to believe that excellence, as a rule, pertains primarily to the private sector, a view that may have contributed to diminished support for public education. Ronald G. Ehrenberg, Irving M. Ives Professor of Industrial and Labor Relations and Economics at Cornell University and director of the Cornell Higher Education Research Institute, provides some insight into the economics of the situation, noting that at a time when enrollments in public higher education institutions are on the rise, soaring from less than 8 million in 1974 to more than 12 million in 2004, "it is perhaps remarkable that average state appropriations per full-time equivalent student at public higher education institutions have increased, on average, at an annual rate that has exceeded the rate of increase in consumer prices by about 0.6 percent a year (or remained almost flat if inflation is calculated not by the Consumer Price Index but according to the more realistic Higher Education Price Index). Given that state support for public higher education is one of the few real discretionary categories in state budgets and higher education is one of the few state agen-



cies that charges for its services, policymakers seem to have concluded that flat funding is all that public higher education can expect from the state.”<sup>100</sup> John D. Wiley, chancellor of the University of Wisconsin-Madison, recently noted the effect of this phenomenon on public colleges and universities in his state, lamenting that, “More than a decade of state budget cuts...have left the base operating budgets of Wisconsin’s public higher education systems in the worst condition since the Great Depression.”<sup>101</sup> Across the country, the situation is the same, so it doesn’t seem likely that public higher education can expect any real funding increases in the foreseeable future. Educators will always try to do more with less, but we are clearly running out of less.

As a result, while Americans’ right of access to higher education remains intact, support for public higher education continues to deteriorate, forcing higher education institutions to sometimes sacrifice quality in order to make access as easy and widely available as possible. Even while bearing this burden, most public colleges and universities still strive to balance both their obligation to admit students from all walks of life and economic strata with the need to raise private monies in order to compensate for continuing funding cuts.

Today in the United States we have developed the notion that “elitist” is always a pejorative term, and always bears the stigma of class rather than the proud banner of achievement. I vividly remember a time when, addressing my students, I quoted Thomas Jefferson’s remark that, “Nature has wisely provided an aristocracy of virtue and talent for the direction of the interest of society...” One of the students objected to the statement, saying it was offensive because it favored the idea of

elitism. I explained that in my view, that just wasn’t true. An orchestra, for instance, needs a conductor—a person skilled and committed enough to *be* the conductor, and who has put in an enormous amount of work and effort to develop the knowledge and ability necessary to be the leader of the other musicians. The first violinist, also, has to work hard to achieve that first chair. Effort, excellence, skill and dedication are the hallmark of leaders, and, along with that orchestra I’ve used as an example, our society, our democracy, and our civilization needs talented, visionary leaders.

The late Pulitzer Prize winning cultural critic William A. Henry suggested that the “wrath directed at elitism”—such as that evidenced by my student—has to do with a kind of populist suspicion about intellectualism. Americans would be better off, he explains, if we understood elitism, instead, as characterized by “...respect toward leadership...esteem for accomplishment, especially when achieved through long labor and rigorous education... commitment to rationalism and scientific investigation; upholding of objective standards; most important, the willingness to assert that one idea, contribution or attainment is *better* than another.”<sup>102</sup>

To have an independent mind is not to be antisocial. Independent thinking is not an antisocial or elitist act, and indeed, universities need more people—students, faculty, and administrators—who welcome new ideas, celebrate the courage to be imaginative and encourage independence of mind. Without such people, the university community will become a stale and deadly place, and surrounded by such timid company, the president may not be able to rise to the occasion when it comes to taking a stand about a particular issue, or

100 Ehrenberg, *op. cit.*

101 *Madison* magazine, November 2003.

102 *In Defense of Elitism*, by William A. Henry (Anchor, 1995).

speaking out in support of—or against—one side or another of a debate.

This became particularly apparent to me some years ago when the *Boston Globe* invited the presidents of New England-based universities to write an occasional column that would appear periodically and in which they could voice their opinions about major issues of the day. Only a handful of presidents ever took on the challenge, and their reluctance to make public statements about their position on various issues—unless somehow forced by circumstances to do so—continues to be the norm among higher education leaders today, which worries me. The reluctance of these individuals to speak publicly is not a sign of shyness or modesty. It arises from a self-induced fear of offending any possible constituency that might harm the university politically or financially.

Decades ago, university presidents—along with the CEOs of major American corporations—were expected to be national opinion leaders and take sides on various issues, even when they were controversial, but that is not the case today. Richard C. Levin, the president of Yale, thinks that may be the fault of the press itself, at least in the U.S. He says, “Today, the press has little interest in what a university president has to say, unless the president’s views are highly controversial. I have had a number of op-ed pieces rejected because they weren’t sufficiently controversial.”<sup>103</sup> On the other hand, he notes, “On my visits to China, India, Korea, and Mexico, I have given scores of interviews concerning my views on the global economy, international trade negotiations, intellectual property, and other topics related to my expertise as an economist. I have expressed my views on such subjects annually at the meetings of the World Economic Forum

in Davos, and I am frequently interviewed by the Chinese media on aspects of China’s economic development, even from my office in New Haven.”<sup>104</sup>

Levin may be right that the press is indeed looking for incendiary remarks rather than thoughtful analysis, but I don’t think that excuses us, as higher education leaders, from entering into the national conversation about important issues. (One particularly interested audience would certainly be the vast number of alumni who keep track of news about their school and its administration.) For example, before a federal judge’s landmark ruling in December 2005 against a Pennsylvania school board that wanted to include teaching intelligent design in a public school biology class, I am aware of only one university president who felt that the potential impact “of the challenge to science posed by religiously based opposition to evolution”<sup>105</sup> was so significant that he was compelled to discuss it publicly. That was Hunter R. Rawlings III, president of Cornell University, who was interim president on October 21, 2005 when he gave the State of the University Address and said, “I want to suggest that universities like Cornell can make a valuable contribution to the nation’s cultural and intellectual discourse. With a breadth of expertise that embraces the humanities and the social sciences as well as science and technology, we need to be engaging issues like evolution and intelligent design both *internally*, in the classroom...and in campus-wide debates, and also *externally* by making our voices heard in the spheres of public policy and politics.” While also asserting that intelligent design is not valid “as science,”<sup>106</sup> he called for efforts on the part of Cornell task forces to understand

103 *Yale Alumni Magazine*, March/April 2005.

104 *ibid.*

105 [http://www.cornell.edu/president/announcement\\_2005\\_1021.cfm](http://www.cornell.edu/president/announcement_2005_1021.cfm)

106 *ibid.*

“how to separate information from knowledge and knowledge from ideology; how to understand and address the ethical dilemmas and anxieties that scientific discovery has produced; and how to assess the influence of secular humanism on culture and society.”<sup>107</sup>

It is true that when university presidents *do* speak out on national, or even local issues, they are likely to be attacked by groups and individuals from all over the political spectrum. But when a university president is silent about issues that affect the nation, and hence, the future of his or her students, that silence itself may be perceived as a resounding statement that can be easily misinterpreted as indifference. As leaders, presidents of universities have an obligation to themselves, their students, their faculty, alumni, and to the very traditions and values of the institutions they serve to have the courage of their convictions, and speak out about them, with candor, honesty and confidence. They must be true to their principles, otherwise, why bother having any? If presidents don't publicly address important issues, they certainly cannot then accuse their students of complacency or disinterest because, by remaining mute, they counter their own exhortations for students to be true to *their* principles.

### **The Pulse of the University: Work and Respect**

Intellectual honesty and the courage to stand up for one's principles are certainly required ingredients for successful leadership. But in my opinion, there is another element that is equally essential, and that is having spent some time in the trenches. What that means in a university setting is that it's helpful if the president has been exposed to or has some experience of how the university functions “from below” as well as from the top, and has seen how the staff,

faculty, students and other members of the university community interact from a number of different perspectives. Having that kind of experience makes a president less likely to approach the stewardship of a university based on what he or she has learned from management manuals but instead, from real encounters with real issues, real people and real problems that can then be built on in a larger context.

My “management education” began at Stanford when, in addition to receiving partial scholarship funds, as did many other students, I had a number of part-time jobs. I worked in the library and at the international student center, and was also a ticket-taker at the theater, a teaching assistant grading papers, and a program assistant, all jobs that gave me a good grounding in how the university worked at its most basic levels. One job I remember in particular was a stint at Stanford's famous Cellar, the only nonresidential dining room open to students, faculty and visitors. There, I learned that in America, working for one's education was not shameful; indeed, it was a badge of honor. What kind of job you had didn't matter—the fact that you were working for your education and striving to reach a goal was what counted. Working meant that you were self-reliant, and had self-respect. The jobs were only a means to an important end, and everyone understood that. People even bragged about their jobs, no matter how menial they were or how low on the social scale. Even middle-class students worked, and were proud of that fact.

However, this was a phenomenon that foreign students didn't understand. Most came from societies where there were rigid hierarchies of work, and caste, and hence, the nature of the work one did had class connotations. Low-level employment reflected poorly on one's standing in society. Indeed, I knew

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107 *ibid.*

foreign students who had to work to make ends meet but would rather be inside a kitchen washing dishes than work outside, waiting tables (arguably, a better job), because as a waiter or waitress they would be seen by others. Their fear was that word would get back to friends and family in their home country who would learn that they were employed as waiters while they went to college, and that would be an embarrassment. In other words, students new to the U.S.—including myself, I must confess—thought that one of the worst things that could happen would be for someone back home to think, “How come he went all the way to the United States just to work as a lowly waiter?” As we students became acculturated, we overcame these preconceptions.

In that connection, one of the most rewarding experiences I had was when Ayub Khan, then president of Pakistan,<sup>108</sup> visited Stanford. He addressed the issue of working to help pay for one’s education by noting that it would be revolutionary if students from the Indian subcontinent who arrived at the Stanford railway station unloaded and carried their own bags instead of waiting for porters to do the job, as would have been the case in their own countries where class and caste dictated that “menial work” such as carrying bags could only be done by those on the lowest economic rungs of society.

In later years, whether I was at San Francisco State College or the University of Texas or the University of Pennsylvania or Brown, these experiences gave me a deeper appreciation and respect for students and what they often had to go through in order to earn their education. Indeed, while at Brown, I drew on the phenomenon of Catholic “worker priests” that prevailed in the 1960s and 1970s, particularly

<sup>108</sup> Ayub Khan was president of Pakistan from 1958 to 1969.

in France,<sup>109</sup> and called our students, “worker students.” At formal Brown honorary degree dinners and other occasions where students worked as waiters, I always made a point of introducing them to the guests, saying, “Here are our wonderful student workers who are working to help pay for their education.”

Looking back again to *my* student worker days prompts me to reiterate how important those experiences were, because they help one realize that it’s not just the superstructure of a particular institution or organization that makes it successful but also the quality and reliability of its infrastructure, down to the seemingly smallest detail. In every position I have held at a university, it was immeasurably valuable to me to get to know everyone I could who was a part of the university community, from the workers to the students, to the faculty, to union representatives, to the librarians, the lab workers, the groundskeepers and the administrative personnel.

Perhaps the most underrated people in the university are the staff, especially secretaries, assistants and administrators who have witnessed the comings and goings of many deans, provosts and presidents. They serve as the central nervous system of the university’s administration and are often, themselves, a critical element of management, providing continuity as well as the efficiency that comes with understanding that can only be gained over time of how an organization functions. Many in the university community perhaps look upon these staff members as just cogs in the bigger wheel of the bureaucracy and don’t understand that their work and their attention to an issue can actually stoke the engines of change. A successful university president *does* understand

<sup>109</sup> “In 1944 the first worker-priest missions were set up in Paris, and then in Lyons and Marseille [to share] the grime and toil of an often oppressed social class...” *Uniya Newsletter*: Autumn 1995.

this about the structure of his or her institution and sees it not as hierarchical but horizontal, and takes care to deal with everyone in every position with the respect they deserve. There should never be first-, second- or third-class citizens at a university.

With this philosophy in mind, I was usually able to take the pulse of the university. At the University of Pennsylvania and later, at Brown, I became better able to anticipate when problems were looming on the horizon and diffuse impending problems and tensions that might be building in the community. Such efforts pay off when a president learns to steer everyone toward acceptance of each other and of the common educational mission that is shared by faculty, students and administrators alike.

The above observations come with a warning, however: what a president must *not* do is feign interest in an issue or a person. People can often tell when someone is genuinely interested in them or their cause or their work, and they can tell when that is not the case. If you're faking, they are likely to cut you right down to size, or retreat into a cocoon of cynicism. Under these circumstances, they would interpret overtures on the part of the administration as an attempt to manipulate them into doing or saying something, or as a sign of misguided noblesse oblige.

I am glad to see that these ideas have gradually been incorporated into "management theory," whereby it is considered critical for a leader to spend time getting to know and understand his or her workforce as well as the inner workings of the institution or organization they all serve. While this may seem to be a time-consuming pursuit, and dealing with the issues and problems that will turn up as a result may appear to present distractions, in

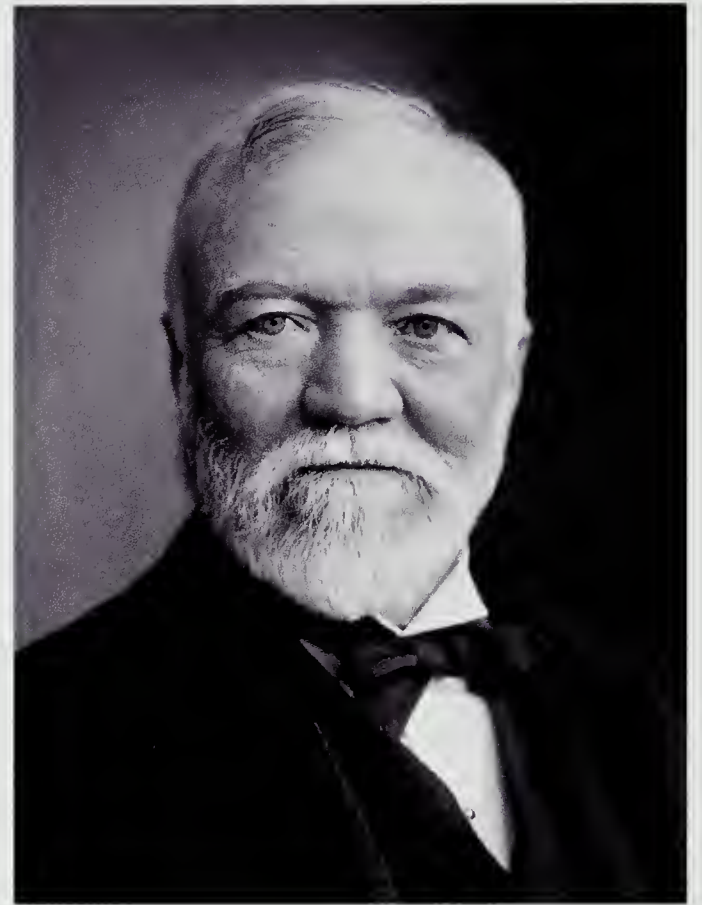
the long run, being on good terms with all the workers at an institution keeps the higher-up managers alert and on their toes, because they realize that they are not the only conduits to a president who has all sorts of other avenues for getting information and hearing opinions.

In essence, these observations all circle back to the notion that university presidents cannot treat different segments of the community in different ways, because that creates widely varying expectations on the part of different groups and individuals as well as actual or perceived divisions. Of course, this is more easily said than done, especially during labor strikes, which test all management theories and challenge the nervous system of all parties involved. At such times, the president of the university has to remember that strikes, no matter how bitter, and no matter what kind of difficulties they create, are always temporary and that they are, and will continue to be, part of the life of the university. Therefore, it is important to remember that post-strike relations can often be traced back to how people behaved while the strike was in progress and how effectively the lines of communication were kept open. At the conclusion of a strike, it may be tempting for a president to report to the Trustees and the university community at large that the administration has "declared victory" and "defeated" the union, but that's a temptation to be resisted. Strike leaders should not be denigrated nor should those who followed their union leaders be admonished for doing so. One has to remember that these situations are always a zero-sum game: if your opponents feel that they've lost everything, and on top of that are the victims of a lot of hurtful rhetoric and ad hominem remarks, they won't forget it the next time problems arise. In fact, there is much to be said for civility and face-saving, not only in terms of institutional relationships

but in national and international relations, as well. It is important not to alienate those with whom you are in an oppositional relationship because out of alienation and humiliation can come desperate acts, often with consequences that cannot be undone.

I consider myself lucky in that when the time came for me to leave an institution, I had followed my own advice and did not leave behind any “defeated enemies.” That had a lot to do with my cultural background: I was always aware that face-saving was important, and that it was important to allow people who had lost power in one way or another to retain their dignity and self-respect. A person who may have lost a position of power or influence is most likely to remain in the community and you will continue to interact with that man or woman for as long as you remain a member of the community yourself. So I always made it a practice to do my best to understand what line I should not cross so that anyone in that position could retreat, without my seeming to relish their defeat.

When I left the University of Pennsylvania, and later, when I left The New York Public Library and Brown University, my measure of success was not only whether or not I had faculty and/or staff support, but also (in the case of the universities) that I also had the support and respect of students and workers who had fought “pitched battles” with me. After all, we shared the same commitment to our institution, were part of one family—whether at The New York Public Library, the University of Pennsylvania or Brown—and understood that our disagreements were part of the democratic governance process. In the end, we were all passengers on the same ship, and the fact that the ship would be able to sail on, stronger than before no matter what the resolution of our problems, was what really mattered.




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## Philanthropy

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I was president of Brown University for nine years, at which point I once again took an inventory. The university had just successfully concluded the *Campaign for the Rising Generation*, a historic milestone for Brown and for Rhode Island in terms of fundraising. In addition, the university’s endowment, despite 5½ percent annual withdrawals, had almost trebled during the nine years, passing \$1 billion for the first time. More than 15,000 students a year were applying for admission to Brown, the largest number of applications ever received by the university.<sup>110</sup> As far as the university’s infrastructure was concerned, several new buildings

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<sup>110</sup> There were numerous other signs of success such as *U.S. News and World Report* ranking Brown 8<sup>th</sup> on its annual best colleges list (up from 9<sup>th</sup> in 1995). We had increased the number of women and minorities in faculty positions: of approximately 750 medical and non-medical faculty, about 100 were now members of minority groups and 217 were women. Ninety-seven percent of the goals set out in a 1992 report entitled *Looking Toward the Year 2000: A Status Report on the Long-Term Planning Process at Brown University*, which provided a blueprint for the university’s financial and academic planning, had been met.

had gone up, a new dormitory had been built, the campus was wired for the Internet, and numerous other long-overdue improvements had been made, including upgrading the libraries. Plans and fundraising for other new facilities had also been completed. With all this in mind, I concluded that it was time to move on. But I had to be sure where I was going next.

It was my great fortune that, in 1997, the Board of Carnegie Corporation of New York offered me the opportunity to be the Corporation's twelfth president. It was an exciting possibility, but any notion of succeeding to a post once held by Andrew Carnegie<sup>111</sup> was daunting, as well. I did not overlook the irony that, after him, I would be only the second immigrant to head this august institution. I did have something else in common with Andrew Carnegie: as children, we both loved books but because of our poor circumstances, were mostly unable to get them. We also shared a love of libraries and of education.

Becoming president of the Corporation also meant that one was being given the substantial task of building on the record of outstanding leaders who had previously served as president of Carnegie Corporation such as John Gardner, Alan Pifer and David Hamburg. And it meant serving the mission that Andrew Carnegie gave the Corporation, which is "to promote the advancement and diffusion of knowledge and understanding." This was an enormous responsibility, but one I looked forward to because it gave me the opportunity to act as an instrument of Carnegie's legacy and to attempt to meet his expectations that his wealth be used for the public good.

In short, joining Carnegie Corporation presented an extraordinary challenge. When I was

at The New York Public Library, I had often pointed to Andrew Carnegie as the guardian angel of libraries and learning, and here I was, metaphorically about to step into his shoes. To top that, the Corporation also happened to be in New York City, which I loved, and where I had spent some nine years. Unless you have lived in and then left New York City, you do not realize what you will be missing. I was delighted to return to a place that was also home to so many great institutions: the UN, some of America's most important colleges and universities, great museums, theaters, corporations, and centers of civic activity. Plus, New York is the natural habitat of the world's diasporas: people from all over the globe settle here and almost everyone is eventually integrated into the life of this remarkable, invigorating, beautiful, impossible city.

As I had led institutions that were dependent on philanthropy, it was intriguing to enter the field "from the other side," especially at a time when interest in philanthropy was blossoming. The challenge of philanthropy is how to contribute to the public good while at the same time assist both the American public and policymakers in understanding the power of philanthropy to effect positive change both in our nation and abroad.

For more than twenty years, like many of my colleagues in higher education, as well as at other nonprofit institutions, I had been a frequent mendicant in the corridors of philanthropy. Indeed, sometimes in different capacities, as dean, provost and later, president, I had come to appreciate the depth, breadth and scope of American philanthropy. I had been privileged to witness the operations of the Vincent Astor Foundation and was a Board member of the Aaron Diamond and Bill & Melinda Gates foundations, the J. Paul Getty Trust, and an advisor to the Annenberg Foundation. In fact, in writing this essay, I realized that,

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<sup>111</sup> Andrew Carnegie was president of Carnegie Corporation of New York 1911-1919.

through the years, I had served on the Boards of over three dozen different nonprofit organizations and institutions. These experiences had led me to an understanding of some of the mechanics of grantmaking. I also understood how potential grant recipients translate their ideas into funding proposals and how grantmaking decisions are made on the donor side. Extensive reading about U.S. democracy, particularly such a seminal work as *Democracy in America* by Alexis de Tocqueville, had given me a historical basis for understanding the unique characteristics of Americans, their altruism, and philanthropic impulses. By coincidence, one of the last courses I taught at Brown, which I co-taught with Stephen Graubard, a noted author who for more than 30 years was the editor of *Daedalus*, was about Tocqueville's *Democracy in America*. Rereading Tocqueville's description of the American character, I realized that it fit perfectly with the character of Andrew Carnegie, the immigrant, businessman and philanthropist. Carnegie's name was one of a handful of names that I had encountered in Tabriz, Iran, when, as a youngster, I read about the lives of self-made men—not only those who had become rich, but also writers, inventors, and others—from Robert Fulton to Andrew Carnegie. As president of The New York Public Library, where I had inherited Andrew Carnegie's legacy of "Carnegie libraries,"<sup>112</sup> it was natural for me to read Carnegie's famous 1889 essay, *The Gospel of Wealth*, in which he asserted that all personal wealth beyond that required to meet the needs of one's family should be regarded as a trust fund to be administered for the benefit of society.

Throughout my professional career, I had believed, practiced and preached that anyone who joins an institution, especially presidents,

112 Andrew Carnegie funded the construction of 39 branch libraries in Manhattan, the Bronx and Staten Island. There are still 31 of them in operation today.

should do everything possible to learn about their institution's history, mission, complexities, accomplishments, reach—and limitations. I had read extensively about the University of Pennsylvania, The New York Public Library, and Brown University, so, as a prelude to joining Carnegie Corporation of New York, I extended my readings to include not only Andrew Carnegie himself, but also the mission, work and history of the Corporation. I learned everything I could. I read about my immediate predecessor, David Hamburg, who had already demonstrated to me that Carnegie Corporation was not a rigid, inflexible organization: although the Corporation did not have a formal program focused on support of libraries in the United States, when Dr. Hamburg was president of the Corporation, he made an exception and gave The New York Public Library a \$500,000 grant towards its 75<sup>th</sup> Anniversary Fund. The Ford Foundation, I learned—through its distinguished president and a great friend, Frank Thomas—also made such exceptions in exceptional situations.<sup>113</sup>

In general, the whole concept of philanthropy, and of American philanthropy in particular, interested me deeply. It was a revelation to me, and I'm sure to many others, that people would voluntarily part from their fortunes to give to a cause, not out of pity or charity, but out of a belief in that cause. The concept that these individuals were contributing to *building* something rather than just providing for immediate charitable needs was compelling, as was the fact that some people in control of great wealth would put societal well-being on a par with their devotion to providing for their

113 Though the Ford Foundation does not have a program devoted to supporting libraries, they did provide significant funding to The New York Public Library. Frank Thomas, who was the president of Ford at that time, jokingly told me that rules are important but so are exceptions, and Andrew Carnegie's legacy was always an exception.



own children or grandchildren. This brings to mind an important distinction between charity and philanthropy that has eroded over time, but should be noted because it highlights the different concerns that donors may have: charity, which is derived from the Latin word *caritas*, meaning dear, has a long religious history; for Jews, Christians, and Muslims, for example, it has meant giving immediate relief to human suffering without passing judgment on those who suffer. Philanthropy has a more secular history and comes from the Greek word *philanthropos*, meaning love of mankind. The Greek meaning carried over to English and, for the longest time, philanthropy referred only to a caring disposition toward one's fellow man. Now the word is used to describe generosity that promotes human progress in any field.

Being a historian carries its own particular burden: in my case, I could not help but be mindful of the fact that I was assuming the presidency not only as an administrator but also as a steward of Andrew Carnegie's trust, and therefore, that I had a historical and moral, not to mention fiduciary, duty to do justice to Carnegie's vision and legacy. After all, this was a man who had even entered into a prenuptial agreement with his wife-to-be that declared their joint intentions to devote the bulk of his wealth to the public good.<sup>114</sup>

As a historian, I was also aware of the many issues that may arise during times of transition in leadership. One must always be aware of how important transitions are and cognizant of how much work they require. Transitions have to be smooth. They have to be planned. They have to be orchestrated—not simply for the sake of the departing or incoming individual, but for the health of the institution involved. During

a time of transition, institutional leadership must take care to see that the public's perception of their institution is not diminished, that it does not seem rattled by change or judged to be floundering in any way. The institution must always be seen to be on the ascendancy; its momentum must not be slowed or checked. Its built-in energy must be tapped to keep it moving forward without hesitancy or doubt. The emphasis must always be on continuities rather than discontinuities, on traditions as well as how to accommodate change.

Nonetheless, installing a new president is, by necessity, always going to be accompanied by a period of adjustment for the institution and its staff. Such transitions, however, can also provide the opportunity for reflection, self-analysis, and renewal because one necessarily takes stock of personal and institutional strengths and weaknesses that will lead to success or, if unrecognized, prove to be stumbling blocks. For my part, as the new president of the Corporation, I was aware that there were pluses and minuses to be tallied. On the positive side, my years at several major American universities had certainly familiarized me with the workings of institutions like Carnegie Corporation that were focused on research and education and other national and international challenges. After all, by their very nature, the educational mission of universities incorporates a focus on the major issues confronting our nation and the world. The Corporation's mandate to help create and disseminate knowledge was a direct parallel to the mission of universities; both met universal needs.

The minuses included the fact that I knew little about the inner workings of a foundation and its staff, the process of decision making at a foundation and setting of priorities. I had no firsthand knowledge of the difficulties involved in what Andrew Carnegie had termed

<sup>114</sup> Carnegie and his intended bride, Louise Whitfield, signed the document on April 22, 1887, the same day that the Carnegies were married.

“scientific philanthropy,” namely that money is not simply given away; monies are invested in ideas, institutions, organizations, programs and individuals with vision and strong leadership, and with strategic plans in place. But I was as eager to learn as much as I could and so it was, therefore, with both joy and trepidation that I took up my new position, which came with the legacy built on the work of my predecessors.

### **Carnegie Corporation of New York**

As I studied the work and history of the foundation, I began to assess its resources and personnel, not to mention its programmatic priorities, both past and present. In the process, I worked out some basic questions about the Corporation that were in keeping with the kinds of questions I have always asked about institutions I have led, such as, *What are we doing? Why are we doing what we're doing? How do we know that what we're doing, we're doing well? Who else does what we do, but does it better?*

There are two ways to get answers to such questions. First, rely on consultants to help find answers. Second, devote the time necessary to gathering the information firsthand. I chose to follow the second course, engaging in in-depth conversations with a multitude of scholars, diplomats, university presidents and educators, heads of nonprofit organizations, other foundation leaders, policymakers, present and former Corporation grantees, and many other individuals. In due time, I also interviewed every member of the Corporation's staff. My intent was to gain some real understanding of their experiences at the Corporation and their vision of what our mission entailed in order to acquire as much knowledge as I could about the foundation's work, its grantees and its partners. Furthermore, it was important to avoid discontinuity with work that had already taken place and to maintain continuity. Of particular

importance, naturally, were my meetings with my immediate predecessors, David Hamburg<sup>115</sup> and Alan Pifer.<sup>116</sup>

To mark the symbolic continuity of the Corporation's presidential administrations, my first task was to help launch the final report of the Carnegie Commission on Preventing Deadly Conflict,<sup>117</sup> the culmination of three years' work by Dr. Hamburg. He had chaired the Commission, along with Cyrus Vance, and their efforts were aided by a number of other distinguished national and international commissioners and scholars. The Corporation had established the Commission in 1994 to address “the looming threats to world peace of intergroup violence and to advance new ideas for the prevention and resolution of deadly conflict.” During the course of its work the Commission produced more than forty scholarly and policy relevant publications covering an astonishing range of issues.<sup>118</sup>

To aid in the transition between administrations, I sought the pro bono services of McKinsey & Company, which had helped me both at the Library and at Brown, to carry out an in-depth study of the organization and structure of Carnegie Corporation and to provide an assessment of the foundation's strengths and weaknesses, as well as its potential. One thing that soon became clear in studying Carnegie Corporation's evolution and its current standing was that while, in the past, the Corporation used to be one of the wealthiest foundations in the United States in terms

115 Dr. David Hamburg was president of Carnegie Corporation of New York from 1982 to 1997.

116 Alan Pifer was acting president of Carnegie Corporation of New York from 1965 to 1967; he served as president from 1967 to 1982.

117 *Preventing Deadly Conflict*, Final Report (Carnegie Corporation of New York, 1997).

118 Although the Commission ceased operations in December 1999, its publications remain available online at [www.ccpdc.org](http://www.ccpdc.org).

of endowment, that was no longer the case.<sup>119</sup> Today, the Corporation's reputation far exceeds its resources. The same can be said of the Rockefeller Foundation, which was founded in 1913 and is committed to "fostering knowledge and innovation to enrich and sustain the lives and livelihood of poor and excluded people throughout the world."<sup>120</sup>

In its nearly one hundred years of grant-making, the Corporation's focus has been on advancing education and knowledge and on international peace, but by necessity, it has also worked in related areas. Andrew Carnegie mandated that the Corporation should benefit the people of the United States, although up to 7.4 percent of the funds could be used for the same purpose in countries that are or have been members of the British Dominions, subsequently, the Commonwealth. In recent years, the "Commonwealth" aspect of the Corporation's funding has focused on sub-Saharan Africa. Carnegie's charge to his foundation was also remarkable in that he did not intend to hold the future hostage to the past, declaring that since, "Conditions upon the earth [sic] inevitably change; hence, no wise man will bind Trustees forever to certain paths, causes or institutions...I give my Trustees full authority to change policy or causes hitherto aided, from time to time, when this, in their opinion, has become necessary or desirable. They shall best conform to my wishes by using their own judgment..." Carnegie's prescient and generous intentions have allowed the Corporation to have an impact in a wide range of areas.

Andrew Carnegie left behind a fascinating history. First and foremost, Carnegie's name is synonymous with libraries. Beginning in 1886,

Carnegie, and later Carnegie Corporation, in its early years, collectively spent \$56 million to create 1,681 public libraries in nearly as many U.S. communities and 828 libraries in other parts of the world.<sup>121</sup>

But more than that, Andrew Carnegie's personal philanthropy was remarkably wide-ranging. He founded more than 20 different institutions and organizations in the United States and elsewhere, devoted to advancing causes such as international peace, ethics in international affairs, and scientific research as well as to improving teaching and education, supporting Scottish universities, and recognizing heroism. He created Carnegie Hall and funded the establishment of the Peace Palace in The Hague.<sup>122</sup> Perhaps less well known than his dedication to building libraries for the general public was his dedication to the cause of international peace and the prevention of deadly conflict. In Carnegie's view, capitalism provided no moral justification for war. *Reason* was the source men and women should look to in order to find solutions for conflict, and *competition* was the best substitute for going to war. As a rationalist, he believed in these principles; as a philanthropist, he thought he could act on them.

121 For the past quarter century, the Corporation has not had a program of support for domestic libraries, with the exception of a few grants for specific purposes. The foundation's recent library-related efforts have focused on sub-Saharan Africa with the goal of developing national libraries, revitalizing selected public libraries and aiding development of university libraries in countries and institutions that have strategic intervention programs funded by the Corporation.

122 The institutions founded by Andrew Carnegie include Carnegie Hall, the Carnegie Library of Pittsburgh, the Carnegie Museums of Pittsburgh, Carnegie Mellon University, The Carnegie Trust for the Universities of Scotland, Carnegie Institution of Washington, the Carnegie Foundation (Netherlands), The Carnegie Dunfermline Trust, The Carnegie Hero Fund Commission (Pittsburgh, Pennsylvania), The Carnegie Hero Fund Trust (Dunfermline, Scotland), various Carnegie Hero Funds in Europe, The Carnegie Foundation for the Advancement of Teaching, the Carnegie Endowment for International Peace, Carnegie Corporation of New York, The Carnegie United Kingdom Trust and the Carnegie Council for Ethics in International Affairs.

119 As of 2004, Carnegie Corporation of New York was ranked 24<sup>th</sup>, by assets, among U.S. foundations according to *Foundation Yearbook* 2006, published by The Foundation Center.

120 <http://www.rockfound.org/>.

Carnegie became a tireless promoter of ways to further the cause of peace. In a 1907 speech, ultimately translated into 13 languages, he argued that war might be eliminated if a global organization, which he later proposed calling a “league of nations,” was established with authority to settle international disputes through arbitration and the use of economic sanctions. After World War I, President Woodrow Wilson’s proposal for the League of Nations had much in common with Carnegie’s ideas, as did subsequent proposals for the United Nations. It is therefore no surprise that Andrew Carnegie’s interest in the pursuit of peace has informed the Corporation’s work throughout the past century and into the present day. For example, since the advent of the Cold War, and now in the post-Soviet era, the Corporation has maintained a focus on efforts to reduce the proliferation of nuclear and biological weapons. The relationship between the United States and Russia is a current concern, now further complicated by the emerging importance of post-Soviet Eurasia and the threat to global stability of states at risk. Similar concerns led the Corporation to create its Scholars Program in 1999 to give individual scholars the ability to explore their vision of issues relating to the Corporation’s work, including international peace and security, with a current focus on Islam. It is our hope that Carnegie Scholars will increase our understanding of the fact that Islam is not a monolithic religion but one that is nuanced in how it is practiced and interpreted, and that scholarship can also help bring about a deeper understanding of how Islam has influenced—and has been affected by—the current process of globalization.

Over the decades, the work that Andrew Carnegie began has led to landmark efforts that continue to influence the progress of society. Let me sketch some of them for you: in 1917, with capital and initial subsidies from the

Corporation,<sup>123</sup> Andrew Carnegie established the Teachers Insurance and Annuity Association of America (TIAA). The story of how TIAA originated is actually one that points out the extraordinary effect that Andrew Carnegie’s philanthropy has had on the quality of American higher education. While serving as a Trustee at Cornell University, Carnegie was shocked to discover that teachers, “one of the highest professions,” in his words, earned less than his clerks and lacked retirement benefits. In 1905, he established the Carnegie Teachers Pension Fund—which later received a national charter by Act of Congress and became The Carnegie Foundation for the Advancement of Teaching<sup>124</sup>—with a \$10 million endowment to provide free pensions to college and university teachers. But there were strings attached, and one requirement was that participating institutions had to have the highest academic admission standards of the day. As a result, colleges and universities across the nation raised their academic standards in order to join the pension system. Carnegie’s biographer, Joseph Frazier Wall wrote, “With his pension plan, [he] had done more in a year to advance the standards of higher education within the United States than probably any carefully conceived program to accomplish that goal could ever have done.” However, Carnegie eventually realized that even his personal wealth could not support the pension system’s growth. Therefore, through Carnegie Corporation of New York, he made a \$1 million gift to establish TIAA.<sup>125</sup> The

123 [Carnegie Corporation of New York] *Reports of Officers for the Fiscal Year Ended September 30, 1946*.

124 For much of their history, Carnegie Corporation of New York and The Carnegie Foundation for the Advancement of Teaching (CFAT) shared their officers and Board members. CFAT was reorganized under a separate president and Board in 1979.

125 According to *Andrew Carnegie*, by Joseph Frazier Wall (Oxford University Press, 1970; University of Pittsburgh Press, 1980): the stock of TIAA “was owned by the Carnegie Corporation until 1938, at which time it was transferred to the Trustees of TIAA, making it a totally independent nonprofit insurance company.”

association managed the retirement accounts that were jointly funded by teachers and their employers. In his recent book, *The Foundation: A Great American Secret*,<sup>126</sup> Joel L. Fleishman, the former president of the Atlantic Philanthropies, notes that, "Today, we can recognize the instinctive genius that lay behind Carnegie's scheme [to create TIAA]. At the time, it was not so obvious. Frederick T. Gates, the philanthropic advisor to John D. Rockefeller, Sr. remarked, 'Carnegie is putting his ten millions into a pension fund for teachers. I think this an extraordinary act of folly. Of all people, teachers should be an example of thrift.'"<sup>127</sup>

Now called TIAA-CREF, it is one of the world's largest insurance companies, with over \$300 billion in assets. Raising the standards of excellence for America's institutions of higher education exemplifies how the Corporation's funding acted as a lever of social change, since inherent in the creation of TIAA was the idea that Americans were entitled to a secure income in their retirement, a concept that has been carried through in the creation of the Social Security system.

In the decade following the initial funding of TIAA (specifically, between 1920 and 1924), the Carnegie Americanization Study<sup>128</sup> was published by Harper & Brothers Publishers.<sup>129</sup> The ten-volume study grew out of the Corporation's concern with understanding

the role of Carnegie libraries involved in social work with immigrants.<sup>130</sup> It is not surprising, then, to note that today, in the midst of raging debate about acculturation and assimilation both in the United States and Europe, the Corporation continues to be focused on immigrant civic integration through its Strengthening U.S. Democracy Program.

Reading through the Corporation's history is like being an archeologist who keeps finding more and more fascinating episodes that demonstrate how Andrew Carnegie's philanthropy made a real difference in a surprising variety of realms. For instance, in 1923, the Nobel Prize in Medicine for the discovery of insulin was awarded to Drs. Frederick Banting and J.J.R. Macleod, who conducted their groundbreaking experiments in a Corporation-funded laboratory at the University of Toronto. A decade later, in the 1930s, the Corporation enlisted Swedish economist Gunnar Myrdal to undertake a study of the "The Negro Problem and Modern Democracy." The resulting book, *An American Dilemma*, was published in 1944 and is still cited as a groundbreaking report on race relations in the U.S., one that raised the nation's consciousness about its race problem and was noted in the Supreme Court's 1954 *Brown v. Board of Education* decision to prohibit segregation in the nation's public schools. In the 1940s, Corporation funding helped to create the Educational Testing Service (ETS), a nonprofit organization aiming to "advance quality and equity in education by providing fair and valid student assessments." In 1956, the Corporation created the Foundation Center to support and improve philanthropy by promoting public understanding of the field and helping grantseekers to succeed.

130 Jane Gorjevsky. "Documenting Russian and Eastern European Immigrant Culture in American Manuscript Repositories: Private Philanthropy Archives." Cited from manuscript to be published in *Slavic & East European Information Resources*, Vol. 7, issues 2/3.

126 (Public Affairs, 2007).

127 As noted in *The Foundation: A Great American Secret*—Source: Howard Berliner, *A System of Science for Medicine* (New York and London: Tavistock, 1985). 31-32.

128 See also page XCIV.

129 The full list of the Americanization Studies publications: Thompson, Frank V., *Schooling of the Immigrant*; Park, Robert Ezra, *The Immigrant Press and its Control*; Gavit, John Palmer, *Americans by Choice*; Claghorn, Kate Holladay, *The Immigrant's Day in Court*; Thomas, William Isaac (together with Robert E. Park and Herbert A. Miller), *Old World Traits Transplanted*; Leiserson, William M., *Adjusting Immigrant and Industry*; Frank V. Thompson, *Schooling of the Immigrant*; Speck, Peter A., *A Stake in the Land*; Breckinridge, S.P., *New Homes for Old*; and Daniels, John, *America via the Neighborhood*.

In the 1960s, the Corporation began an era of working, in part, through commissions and task forces. One example is the creation, in 1964, of the Carnegie Commission on Educational Television, which studied the role of noncommercial educational television in society. In 1967, the Commission published a celebrated report, *Public Television: A Program for Action*; its recommendations were adopted in the Public Broadcasting Act, which created the public broadcasting system. Another such entity—the Carnegie Commission on Higher Education—was established in 1967 under the leadership of Clark Kerr. Financed by the Corporation and sponsored by The Carnegie Foundation for the Advancement of Teaching, it produced over 150 seminal reports and books and led to the formation of the Federal Pell Grants program, which has awarded more than \$100 billion in grants to an estimated 30 million postsecondary students.

In 1965, Head Start was founded as a result of, among other factors, the Corporation's multi-year support of the High/Scope Educational Research Foundation's work on early childhood cognitive development. Also in the 1960s, Carnegie Corporation support contributed to the creation of *Sesame Street* and the Children's Television Workshop, ushering in an era of quality educational television for youngsters.

In the 1970s, after a long hiatus, the Corporation returned to grantmaking in South Africa, supporting the formation of "public interest law" projects that challenged apartheid policies in the courts. In the 1980s, the Corporation initiated a major study of poverty in South Africa, which was known as "the Second Carnegie Inquiry into Poverty and Development in Southern Africa." The first study, issued in 1932 and known as the "Carnegie Poor White Study," had been intended to document

the plight of poverty-stricken Afrikaners, but had the unfortunate and completely unintended effect of being used, in later years, to help justify apartheid. The new poverty commission was a way to close the books on the original study and create a document that revealed what life under apartheid really meant. Despite a hostile reception from the ruling National Party, the findings of the report were disseminated widely throughout the South African press and internationally. Francis Wilson, a respected economist at the University of Cape Town and director of the South Africa Labour and Development Research Unit at the university who also coordinated the poverty commission, said, "The report<sup>131</sup> helped to inform the policymakers of the 1990s. Many people involved in the inquiry went on to assume leadership positions in the current government. It created a climate of informed opinion about poverty in South Africa and when the African National Congress came to power, they made the point that eradication of poverty was part of their agenda."

More recently, in the 1990s, the Corporation created The Carnegie Task Force on Meeting the Needs of Young Children. Its 1994 report, *Starting Points*, was hailed as critical to raising the national consciousness about the need to focus on the healthy development of children—and support for their families—during the first three years of life. The aforementioned Carnegie Commission on Preventing Deadly Conflict also did its work in this decade as did the National Commission on Teaching and America's Future, which, with support from the Corporation and the Rockefeller Foundation, published *What Matters Most: Teaching for America's Future*, a 1996 re-

131 *Uprooting Poverty: The South African Challenge* (W.W. Norton, 1989).

port that provided a framework and agenda for teacher education reform across the country.

On occasion, the Corporation has been asked to administer grants on behalf of a benefactor or two. For example, since 2001, we have been able to grant a total of \$85 million to small- and medium-sized, New York City-based arts, cultural and social service organizations because of the generosity of an anonymous donor who has chosen the Corporation to make the grants on the donor's behalf.

As can be imagined, the efforts outlined above are only a fragment of the thousands of projects, programs and initiatives in which the Corporation, with its long and distinguished history, has played an instrumental role. Naturally, anyone joining the Corporation would bask in the light of its accomplishments and want to dwell on its record of achievement. For me, however, while proud of the foundation's successes, I also wanted to understand where it might have weaknesses, and in retrospect, to be clear about which grants really had been successful and which had not.

I was surprised to learn how many foundations, organizations, institutions and individuals wanted—and still do want—to be affiliated with the Corporation and how many different sectors of our society expected something from Carnegie Corporation. Because of the foundation's nearly century-long record of innovative and forward-thinking work and its genuine interest in the progress and advancement of its grantees, the Corporation was continually being asked to fund model projects, seek solutions to innumerable problems, carry out research, provide guidance and in general, do just about anything that needed doing. The temptation to try to lead in many different fields was strong, but we knew we should do so only in those areas in which we had the requi-

site strengths and expertise. Before I even officially joined the Corporation, I thought long and hard about how to focus the foundation's resources most effectively.

In transitions involving institutional leadership, the central point is always how to manage expectations about a new administration and what it will do—or not do. Where is the balance among those expectations, available resources, and any outstanding long- or short-term commitments? A foundation, even with a reasonable endowment, simply cannot address just any problem that falls within the scope of its mission. It is important not to over-promise or to dare flying without ensuring a safe landing. It is equally important to realize very early on that a foundation is primarily a source of funding in a given field and it should not be confused with—or confuse itself with—its grantees. The grantees are the real agents of change, and a foundation must empower *them* without usurping *their* missions, accomplishments, and identity. Perhaps most important of all, foundation leaders have to come to grips with the fact that their institution cannot do everything, that there are other more-than-capable foundations and organizations that can step in when necessary. This should not be a cause for dismay because working cooperatively with other foundations and organizations with complementary agendas always engenders greater benefits and provides greater impact. In addition, cooperation also helps to build networks and promotes action. From my point of view, if you are dedicated to every good cause, then in essence, you are for none. Total commitment to all good causes equates with total apathy because it leaves no room for action. Thus, setting priorities and honing one's focus are essential in order to achieve measurable results.

Other issues occupying my thoughts included setting a course that would be supportive of vital programs and projects but at the same time allow for bucking trends; that would encourage a diversity of approaches and airing of competing views about solutions to problems while also promoting independent thinking. Solid scholarship and objective evaluation must inform such efforts in order to invest in projects that will stand the test of time.

Incoming presidents, especially those who come from struggling institutions, as I did, should be prepared for a culture shock when they move from the realms of academe or libraries, where scarcity is the norm and where the impact of every dollar counts, to the world of foundations, where it seems that money, for the most part, is not a problem. During my decades at Brown, The New York Public Library, and before that, at the University of Pennsylvania, a large percentage of my time was given over to fundraising necessitated by cultures of scarcity. The choices I could make were probably determined as much by frugality as by merit. This long-lived mindset traveled with me to the Corporation, where, until I recognized what was happening, it probably constituted an obstacle to making grants as expeditiously as possible.

When a president takes on a new organization and management structure and is steering a new course, naturally, each one will draw inspiration from different experiences and role models. My role model as a philanthropic leader was the late Jack Sawyer, who headed the Andrew W. Mellon Foundation from 1975 to 1987. Sawyer always made it clear that he was a steward of Mellon's resources, not their owner, and that his obligation was to uphold the foundation's traditions and standards and use its funds for the greatest impact and the greatest good. I remember being very im-

pressed by how, at the Mellon Foundation, you did not *apply* for a grant, you were *invited* to apply, a policy they still, by and large, follow today. I also distinctly remember how, when The New York Public Library received a large and generous grant from the Mellon Foundation, I said to Jack Sawyer that I would do my best to ensure that the money was used as effectively as possible, and was impressed by his reply, which was that he knew I'd do a good job because if I didn't, I wouldn't be invited to ask the Mellon Foundation for any additional funding. Whether one received a grant from the Mellon Foundation or not, Jack Sawyer always treated people with respect. He tried to understand potential grantees' objectives and priorities. He did not pontificate. He was a good listener. And clearly, being a good listener is an important skill for foundation leaders as well as university heads, not to mention program officers and deans.

### Some Preliminary Thoughts

I am not a great fan of the philosopher Michel Foucault, but one of his sayings has always stuck in my mind. At first, I thought it was merely clever verbal gymnastics, but the time came when I realized that it was, in fact, substantive—namely, “People know what they do; they frequently know why they do what they do; but what they don't know is what they do does.”<sup>132</sup> With that idea to spur me on, I wrote my first essay for the Corporation's 1997 annual report—a tradition for Carnegie Corporation presidents—and called it *Some Preliminary Thoughts*. The essay was based on the gist of Foucault's questions, which I applied to the work and mission of Carnegie Corporation, such as: “Does the Corporation perceive itself as an incubator of ideas or as a sustainer

<sup>132</sup> *Michel Foucault: Beyond Structuralism and Hermeneutics*, by Hubert L. Dreyfus, Paul Rabinow (University of Chicago Press, second edition, 1983).



of institutions that play that role? How do we combat the age-old problem of scatteration in our grantmaking, while retaining the flexibility to respond to a tantalizing idea or a target of opportunity?" I also wondered, "What are some important new issues facing our nation and the world that we should deal with? Where is our comparative leadership advantage? How do we achieve the right balance between continuity and change?" That last question was crucial, because I did not—and do not—believe we should engage in change for change's sake. As we considered initiatives, I believed that we would probably reaffirm the importance of some of the paths already taken, only adjusting the emphasis somewhat.

The fundamental reason that I wrote *Some Preliminary Thoughts* was to set out the general context of my agenda for the foundation, but also to try to make clear that I had come to Carnegie Corporation with an open mind, not a ready-made recipe for change. It was important to assure the staff that what changes would be made over time would be thoughtful and deliberate, and certainly not arbitrary. In fact, I could not act until I understood as much as I could about the foundation's work and its nearly century-long role in American society, in order to do justice to the legacy of Andrew Carnegie. Among the first steps I took was to meet, individually, with all the Corporation's program officers and also with a great many of its grantees. As in any transition, both the staff of the foundation and its grantees were going through a period of anxiety about what would happen under a new president. There were some concerns about my management philosophy and my priorities. Would I bring in a hierarchical, academic model? Notwithstanding my assurances, did I have a "secret plan" or vision to impose upon the foundation? Did I have a ready-made team to move to Carnegie Cor-

poration from the University of Pennsylvania, the Library or Brown? Similar questions were natural, both from the staff and from grantees.

There was particular anxiety among those individuals and organizations who, over the years, had been the beneficiaries of Corporation support. They were concerned about the change in administration because they worried they might have no way of effectively communicating with the new leadership, either individually or collectively. Beyond that, because I was an educator, they worried that I might not be aware of the political, scientific, economic, cultural, ecological, and ethnic challenges facing our society. To allay these anxieties, I followed much the same course as I had at The New York Public Library. That meant letting people know that I was indeed in the learning and education business, meaning also in the information and knowledge business. Many aspects of the world of philanthropy were not at all alien to me.

Still, I had many questions of my own. I did not know about all the "moving parts" of a foundation. How, for example, does one become a program officer at a foundation? Do you study a certain subject in school or need a degree in a certain field? Or do you join a foundation, perhaps in an administrative capacity and then eventually get the job of program officer or work up to the position in some other way? In my autobiography, *The Road to Home*, I wrote about Dorothy E. Soderlund, the program assistant in charge of the administration of the Ford Foundation's Training Research Fellowships in 1960 when I was nominated for a Ford Foreign Area Training Fellowship. Ms. Soderlund, who was extremely intelligent and efficient, did not have a college degree but was in charge of a major foundation program and did a superb job. Could I infer anything from the way foundations operated from that situation?

In general, I wondered, how *do* foundation presidents recruit personnel? Is the search only within the academy? Does it include the ranks of municipal or public agencies? Other foundations? What kind of experience or training do foundation personnel need to have? If not formal schooling in their field, then what kind of exposure would be most relevant or helpful? Do foundation program staff tend to be insular, protected from knowing all they need to know about a field by the very nature of their work, where grantseekers may put up with a foundation staff member's whims or even their ignorance because the grantseeker is in the position of a supplicant? In that connection, how does one avoid the foundation-grantee version of what President Dwight D. Eisenhower called the "military-industrial complex"? With its counterpart, the "philanthropy" version—the "grantor, grantee, and consultant complex"—the relationship can be colored by a culture of dependence, where grantees *expect* ongoing, long-term support and therefore, are averse to taking risks.

How does the president establish one or more new directions for the foundation? If a foundation's charter allows for some latitude as, for example, ours does, is one confined to fields in which foundation personnel are already experts or can new staff be recruited? Can existing program officers recast themselves as experts in new fields? Should program officers be specialists, or generalists who can manage any program area? Are they like Foreign Service officers who stay on and continue to do their work under different administrations, year after year? If new directions are indicated, and existing staff is not suited to the new work, what legal, moral and ethical obligations are there to them? What if new blood is need for "unclogging the arteries"? Some foundations had unchanging programs over many decades and

staff that had also been fixtures at the foundation for the same long periods of time. Others offered only short-term contracts to program officers so they always had the opportunity to replenish the ranks, if that was appropriate or necessary. Would either of these pathways, or some combination of the two, be best for Carnegie Corporation in the years ahead?

That wasn't all I wondered about. There was the issue of consultants, which many foundations—as well as other institutions—often rely on. How are decisions on their efficacy arrived at? How often should consultants be changed and new individuals or consulting organizations be brought into a project? I have always been cautious about the use of consultants; they are quick to take credit for success but scatter to the wind like dandelions gone to seed when problems loom on the horizon. As the adage says, "Success has many parents but failure is an orphan." I think an institution should not rely on the same individuals or organizations all the time because new ideas and fresh perspectives may not be forthcoming. Consultants do not always give independent judgments; they may simply try to justify what an institution is already doing. Their advice is often what they think institutional leaders want to hear, so that their services will be called upon again.

Many other questions intrigued me. How do foundations sort through and judge the value of the many ideas presented to the program staff? Some certainly stem from the foundation's ongoing projects and long-standing interests, but what is the process for evaluating those that come from other sources, by other routes? How does a foundation president keep abreast of trends and developments in society and in the wide variety of scientific, cultural, political and academic fields while at the same time coping with the day-to-day administrative

needs and demands of a foundation, its meetings, visitors, committees, budgets, personnel issues, etc.? I was reminded of the danger of losing touch with the world of knowledge, ideas and informed opinions by some who told me that, as the president of a foundation, all I'd hear from then on would be what people thought I wanted to hear. This would be true especially at the beginning of my tenure, because many would fear that jobs and grants were at risk. (Many grant recipients, of course, do not see it that way. At a university, if tenure or promotion were denied a faculty member, for example, you had earned an enemy for life. Foundation culture is more "salutary" than that: when those looking for support are turned down, they know there will be other days and other grant applications.)

When a professional cynic congratulated me on my appointment, he reminded me that, as a foundation president, I would never hear an honest sentence or even eat a bad meal. Another individual, a friend of mine who is also a foundation president, sent me a cactus as a gift with a note that said foundations are often intellectually barren places and I would therefore need to keep myself constantly "watered," so I wouldn't become isolated from what was going on in the world or lose touch with ideas. The cactus was meant to remind me of that.

So it was with the cactus ensconced in my office that I set about working with the foundation's staff and officers to begin formulating our agenda for the months and years ahead.

## Next Steps

I earlier wrote that as far back as my years as dean and provost of the University of Pennsylvania, I thought it should be normal for institutions, to serve the public interest and for self-interest, as well, to cooperate, to complement each other and work together. Collabo-

rating in such areas as coordinating library acquisitions or the bulk purchasing of everyday items in order to save money or, at the other end of the spectrum, investing in sophisticated and expensive scientific equipment such as electron microscopes seemed to be common-sense propositions. In a similar vein, it seemed to make sense for foundations to collaborate in order to invest wisely, increase their impact, plan further ahead, and reduce the tendency of both staff and institutions themselves to operate in silos.

One of my first priorities at the Corporation became building alliances with other philanthropies—a strategy that built on the Corporation's history of forming alliances to support good causes. I thought that we should all be less interested in who, or which institution, got credit for a particular program or project than in advancing good ideas in whatever way would serve them best. Foundations with mutual program interests should not replicate each other's efforts because doing so is wasteful. Supporting a project just to be able to say "we are also involved" is equally improvident. I may have a particular aversion to that kind of inefficiency because of the lessons I've learned about institutional frugality. After all, I come from a culture that hates waste—that in fact, cannot afford it.

Upon my assumption of the presidency of the Corporation, I was gratified to find likeminded leaders at our sister foundations, such as Susan Berresford, president of the Ford Foundation; Jonathan Fanton, president of the John D. and Catherine T. MacArthur Foundation; Patty Stonesifer, chief executive officer of the Gates Foundation Gail Levin, executive director of the Annenberg Foundation; Aryeh Neier president of the Open Society Institute; Joel L. Fleishman, former president of the Atlantic Philanthropies and his successor, John

R. Healy; Hodding Carter, president of the John S. and James L. Knight Foundation, who was succeeded by Alberto Ibarguen; as well as Gordon Conway, president of the Rockefeller Foundation, and now his successor, Judith Rodin. Some examples of the Corporation's collaborative efforts include our support for higher education in Africa, where we formed a funding alliance with the Ford, Rockefeller and MacArthur foundations that is now called the Partnership for Higher Education in Africa. It has recently been joined by the William and Flora Hewlett Foundation, under the direction of its president Paul Brest, the Andrew W. Mellon Foundation, under the direction of president William G. Bowen (Don Michael Randel, former president of the University of Chicago, was recently named the new head of the Mellon Foundation), and the Kresge Foundation, under president Rip Rapson. Launched in 2000 as a five-year effort, in 2005 it was renewed for five more years. To date, the funding partners have contributed over \$150 million to strengthen African universities in Ghana, Mozambique, Nigeria, South Africa, Tanzania, Uganda, Kenya and, more recently, Egypt and Madagascar. An additional \$200 million has been pledged by the Partnership, a mechanism by which the participating foundations provide both joint and individual support.

Our work on higher education in Russia is also supported by a partnership focused on a joint strategy of reinvigorating a post-Communist Russian university system that had, for the most part, abandoned regional intellectuals and scholars to the free-market uncertainties of modern life. In developing Centers For Advanced Study and Education (CASEs), which empowered universities to create academic hubs for scholars in the social sciences and the humanities and become vibrant intellectual communities for established and emerging

scholars, the Corporation has worked with both the MacArthur Foundation and the Russian Ministry of Education. (The Open Society Institute was also involved in the initial CASEs funding.) To date, nine CASEs have been established in Russia and four more in the post-Soviet states.

The Corporation's efforts to improve both teacher education and urban high schools are framed around collaborative efforts. Teachers for a New Era (TNE) was designed by the Corporation to strengthen K-12 teaching by developing state-of-the-art programs at schools of education. It is also being supported by the Ford and Annenberg foundations, while a comprehensive evaluation of the initiative is being undertaken with primary funding from the Rockefeller Foundation and additional support from the Ford and Nellie Mae Education foundations. Schools for a New Society, a Corporation initiative aimed at improving urban high schools—which has school district reform as its core component—was also supported by the Bill & Melinda Gates Foundation. In the area of improving journalism education, the Corporation partners with the John S. and James L. Knight Foundation in the Carnegie-Knight Initiative on the Future of Journalism Education.

In another example of collaboration, an area that the Corporation's Board thought it was important to support was income inequality. We did not have the capacity to undertake the research and evaluation ourselves. Hence, in 2000, we made a grant of \$1,500,000 to the Russell Sage Foundation to analyze the implications of the widened income gap in the United States. Russell Sage was the most appropriate institution to take on this project as it is not only devoted solely to research in the social sciences, but also publishes research findings under its own imprint. The result of

our grants and Russell Sage's research efforts was a report, published in 2004, called *Social Inequality*, that presented the conclusions of forty-eight social scientists on how recent increases in economic inequality have exacerbated social inequities of the kind that might make the widening gap between rich and poor Americans difficult to reverse.

Naturally, we also collaborated among Carnegie's family of organizations. Since 2001, for example, the Corporation has worked with its sister Carnegie institutions<sup>133</sup> on launching and awarding the Carnegie Medal of Philanthropy, which is given every two years to one or more individuals or families who, like Andrew Carnegie, have dedicated their private wealth to the public good and who have a sustained an impressive career in philanthropy. The Medal has also helped to fulfill the wish of the Carnegie organizations to work together for a common purpose, and to once again prove the maxim that charity does indeed begin at home. In that connection, it should be noted that over the years, the Corporation has made numerous grants to its sister Carnegie institutions for projects and programs that have intersected with our priorities. The Corporation, for example, has provided funding to the Carnegie Endowment for International Peace; the Carnegie Council for Ethics in International Affairs; The Carnegie Foundation for the Advancement of Teaching; The Carnegie Library of Pittsburgh; Carnegie-Mellon University; The Carnegie Institution of Washington and the Carnegie Foundation of the Netherlands/Peace Palace.

Establishing these partnerships was a rewarding experience, but in the meantime, the Corporation still had to deal with the crucial and difficult issues involving some of

the Corporation's long-standing relationships with a number of major nonprofit organizations. These had come to expect ongoing, general support from the Corporation. Many of them had built this expectation into their budgets. The impetus for this change was our decision to expand the diversity of our grant-making and base our work on a competition of *ideas* rather than of needs. This is a particularly important issue because my belief is that what foundations can and must do is invest in ideas and the projects that are enriched by them. Needs are constant, and foundations cannot satisfy the needs of individuals, groups, communities or even nations on a long-term basis—but what they *can* do is invest in ideas about how to cope with and meet those needs.

Therefore, at the Corporation, we began to bring to a close some of our ongoing general institutional support, which had included the funding of a number of well-known organizations. We did make final grants to these groups, intending them as bridge grants to help support the organizations while they explored other avenues for funding. In this way, we moved from a kind of "block grants" approach to more project-centered funding, which was still centered on Andrew Carnegie's core concerns, namely education and international peace, but with emphases that addressed the most pressing national and global concerns. Some of the questions we began to focus on included the plight of urban high schools. Is their seemingly endless decline reversible? If so, how can we create improvements: one school at a time or city by city? What about the need to upgrade the status of schools of education on university campuses as well as their curriculum and the quality of the training they provide to teachers? Is there anything we can do to contribute to strengthening our democracy in terms of breaking down barriers to citizenship and to promote immigrant

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133 See footnote 122.

civic integration? There was still a great deal the Corporation could contribute, we felt, in terms of continuing our work on nuclear nonproliferation, and in helping to stabilize the relationship between the United States and Russia through efforts to assist Russia's intelligentsia in a period of national transition, when they were caught between hope and hopelessness—between the allure of democracy and the pressures of both their own financial survival and of the national security needs of the newly minted Russian Federation. In Africa, our concern was to work with nations where stability, democracy, and reform were central to their development and to contribute to their progress by strengthening their universities, which will produce the African leaders of tomorrow, both women and men.

In terms of decisions about staff, even though the Corporation is an at-will institution, I wanted it to be clear that we did not have a university-type "tenure" system. Hence, we instituted two-year, renewable terms for all program officers and program chairs. We also tested several models of new personnel evaluation systems, eventually settling on one that seemed the most efficacious, providing incentives not only for work well done but also for extraordinary merit. These moves were all carried out with an eye to the future. I say that because it's important to bear in mind that the work of a foundation is not an abstraction, but a true reflection of the excellence, expertise, and dedication of its staff. It is also necessary to keep in mind that foundations do change direction from time to time and must have the flexibility to bring in new people with new visions of how program goals can be realized. This view of a foundation's work is also beneficial to the staff, because it discourages them from seeing the foundation either as a kind of permanent parking place for their careers or a dead end. The same way a foundation invests

in its grantees is the same way it should invest in the professional and career development of its staff members at every level.

Foundations *should* provide educational opportunities for their staff, encouraging the evolution of their skills and intellect and helping them find the resources to do so. After all, the more educated, trained and cultured a staff member is, the better equipped he or she will be as a grantmaker. This investment in staff members is particularly valued at the Corporation, because just about everything we do involves a focus on education—and we feel that we can't invest in others through our grantmaking without also investing in our own staff. The Corporation, therefore, pays the full tuition for courses contributing to a staff member's first undergraduate degree, job-related graduate courses, job-related certificate programs, executive training and other job-related courses that directly apply to responsibilities at the Corporation.<sup>134</sup>

It might be said that this emphasis on staff development contributes to staff departures because, as individuals gain both work experience and education, they may move on to other positions. But I see departures as a natural part of the growth process of both staff members and organizations, and a stepping stone for individuals' upward mobility. In fact, when staff take positions at other organizations that involve more responsibility, it means we've done our job as incubators of learning and development of staff goals, their skills, and their leadership potential. They are ready to take the next step in their careers.

<sup>134</sup> The Corporation also pays 80 percent of the cost of courses for staff members enrolled in a graduate program and 50 percent of the cost of other courses from an accredited institution not related to maintaining their job. In recent years, a number of staff members have participated in these programs: four have entered undergraduate programs, six have either completed or are working on their Master's degrees and three are working on Ph.Ds.

We also encourage staff to become involved in the community and in the work of other groups and organizations, in part to carry on Andrew Carnegie's tradition of investing in others, but also in order to help keep them from becoming isolated from "the real world," and to gain wider experience and deeper understanding of the operations and challenges of a wide variety of organizations. This also serves to balance any perceptions of foundation staff as simply "armchair" dispensers of money. Naturally, creating such an environment may also lead to staff departures as individuals broaden their horizons and as their skills, experience and knowledge become apparent to others with new opportunities to offer, but if that is the case, so be it. To be known as a school for training leadership as well as an employer is a wonderful legacy for any institution.

Some of the directions that Carnegie Corporation has embarked on in recent years were based on the premise that changing times demand new solutions to problems. For example, foundation collaborations, such as those I highlighted earlier, while not usual in the past, have become a necessity in order to multiply the strength and impact of our grantmaking. The Corporation's Board Chairs, Trustees and I have paid close attention to the makeup of our Board of Trustees in order to select leaders from different segments of society to assist us as we go forward.

Indeed, the Corporation has always had exceptional Boards of Trustees. During my tenure, it has been a great privilege for the Corporation staff and for me to have benefited from the wisdom of several university presidents, former governors (including one who also served as U.S. Secretary of Education), former international cabinet ministers, the president of a major newspaper company, the former editor-in-chief of a national media

corporation, a former U.S. ambassador, a former senator, and an admiral, along with distinguished business, education, journalism, philanthropy, government and science leaders. The Corporation—and I, personally—have also gained enormously from the guidance and wise counsel of two extraordinary Board Chairs. Thomas H. Kean, former governor of New Jersey, former president of Drew University and co-chair of the 9/11 Commission, was first elected to the Board of Trustees in 1990. He served as Chair from 1997-2002. I am delighted that he will once again be serving as Chair in 2007, thus providing continuity for the Corporation as well as invaluable leadership. Helene L. Kaplan, Of Counsel, Skadden, Arps, Slate, Meagher & Flom, whose distinguished leadership in both the nonprofit and corporate worlds is quite remarkable, has served on the Corporation's Board of Trustees for more than two decades, including two ten-year terms as Trustee, two terms as Vice-Chair, and two terms as Chair of the Board, from 1985-1990 and from 2002 until 2007. Helene was also the first woman to serve as Chair of the Board. Her emphasis on governance and her contributions in helping to shape the scope and direction of the work of the Corporation have been immeasurable.

The time and dedication that our Board members have devoted to the Corporation over the years makes an important point about American philanthropy: its strength is not rooted in money alone. One of its most notable features is volunteerism. Individuals who comprise outstanding Boards such as ours contribute their time and expertise out of a deep sense of civic duty and a commitment to the public good. Carnegie Corporation of New York is extremely fortunate that such exceptional leaders have joined with us in carrying on the legacy of Andrew Carnegie.

## Investing in Ideas

Many of those reading this essay may be familiar with Andrew Carnegie's opinion that, "There is nothing inherently valuable in mere money... unless it is to be administered as a sacred trust for the good of others." To be the steward of such a trust doesn't mean simply writing checks; the utmost effort must be extended to ensure that philanthropic dollars are used wisely and effectively so as to have the most impact. Perhaps that is why I find myself drawn again and again to Andrew Carnegie's *Gospel of Wealth*, and to his cautionary reminder that, "Of every thousand dollars spent in so-called charity today, it is probable that nine hundred and fifty dollars is unwisely spent."

That's not to say that most of our grantees—in fact, the vast majority of grantees of most foundations—don't do vital, even indispensable work, or don't have important missions that are designed to advance the public good. What it *does* mean is that foundations should have clarity about their purpose and mission and be able to convey these values to the public, their staff and to grantees. Foundation staff and leadership should also be committed to respecting the spirit as well as the letter, of the donor's vision for the foundation and its work.

Safeguarding a foundation's mission is not only the task of the president and the Board, but must also be part of the very culture of the institution. Program officers must regard the foundation as an integrated, organic community of interests serving one overall mission, not as a collection of individual fiefdoms. That also means that leadership and program staff must be careful to weigh their personal or institutional aspirations against a realistic assessment of the limits of what they can accomplish in order to keep both in balance.

If all the elements of leadership, clarity of mission and staff focus are in place, then there are many opportunities for grantmaking to effect change. For example, grantmaking can support basic research, which can expand the parameters of knowledge in almost any given field, though its potential impact may take place over a long period of time. Grants can also support the implementation of evidence-based, time-and-scientifically tested findings in order to advance policy in social, scientific, cultural, educational or other realms. Along with implementation, grantmaking can promote the dissemination of a treasurehouse of ideas grounded in solid research that might have been neglected or overlooked. This is particularly important in an era of specialization, when new facts and knowledge can help to create synthesis among seemingly disparate ideas and help to unify different groups, individuals and organizations who find newly discovered common ground. Grantmaking may seem distant from actual research or direct involvement in the development or implementation of programs, projects and policies that can benefit society, but it is a very powerful tool.

The catalysts for change, the incubators of ideas and major investors in change are still the grantee organizations. Foundations can certainly take pride in the wisdom of their investments in various organizations but they should not be tempted to usurp the recognition that is due to their grantees. Most of the time, foundations provide funding for worthwhile projects—but funding itself is not excellence; it *supports* excellence. In that context, leaders must take care not to stifle creativity or interfere with the activities of grantees by trying to micromanage their work. The foundation's investment in a grantee is a way of activating and advancing its own priorities—but it is still



the grantee who has the responsibility of actually carrying out the work.

Perhaps it seems evident, but foundations are not, at any given time, a grantor's institution; they don't carry the grantor's name, but the name of the founder. What foundation staff and leadership are doing is fulfilling the mandate of a donor who endowed a foundation to carry out work in certain areas, or with specific aims. Indeed, donor intent is the key element of foundation work. There are a number of different types of foundations, each of which should follow the dictates of the individual or family that created them. For example, operating foundations generally are not grantmaking institutions. They operate facilities or institutions devoted to a specific charitable activity spelled out in their charters. Some operating foundations may use their endowment to conduct research while others may have been created to provide such direct services as managing museums, historical sites, providing assistance to the handicapped, etc. Other foundations, such as the Aaron Diamond Foundation, the Vincent Astor Foundation, The Atlantic Philanthropies and the Lewis B. and Dorothy Cullman Foundation focus on spending their entire endowment—often within a particular time span—in the service of particular ideas or causes, and then close their doors. Family foundations often have a twofold purpose: to make grants but also to maintain the foundation as a kind of laboratory to train future generations of the family and promote the art of giving as part of the family culture. Private grantmaking foundations, such as Carnegie Corporation of New York, the Rockefeller, Ford, MacArthur, Mellon and other foundations, were created by their donors to carry out philanthropic efforts in perpetuity.

It is our good fortune that Andrew Carnegie, an extraordinary and prescient man

who was both financially and intellectually generous, understood that the interpretation of his philanthropic intentions might have to take a different form at different times, especially in view of the fact that he specifically endowed the foundation to carry out his grantmaking in perpetuity. In his 1911 letter of gift to the Corporation, Carnegie wrote, "My desire is that the work which I hav [sic]<sup>135</sup> been carrying on, or similar beneficial work, shall continue during this and future generations."

In upholding Carnegie's traditions, we are the facilitators, and it is often our role to help mobilize other players around a central idea and help smooth the way for them to work together. Being a funder does give you the leverage, even the obligation, to use what influence you have, including convening power and access to other foundations and philanthropies, to ensure that promising programs and projects are able to attract all the resources they need in order to be carried out most effectively.

Notwithstanding all this, there are times when a foundation itself must, out of necessity, take center stage. That happens when a certain issue or problem must be addressed but no nonprofit organization seems to have that particular concern on their agenda. When such a situation arises, foundation staff and leadership may come to the conclusion that the only way to focus public attention on the issue is if they mobilize their private resources to advance action or explore proposed responses and solutions.

Many foundations have taken that path, and the Corporation is one of them. Among the commissions and initiatives we supported in the past were the Carnegie Commission on

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<sup>135</sup> Andrew Carnegie was a devoted proponent of "simplified spelling." He said, "What could be a more effective agency for world peace than to have all men able to communicate with each other in the same language, especially if that language were English?"

Educational Television; the Carnegie Commission on the Future of Public Broadcasting; the Carnegie Commission on Higher Education; the Carnegie Commission on Preventing Deadly Conflict; the Carnegie Commission on Science, Technology and Government; the Carnegie Council on Adolescent Development; the Carnegie Task Force on Learning in the Primary Grades; and the Carnegie Task Force on Meeting the Needs of Young Children.

During the past decade we launched a number of initiatives (some of which I have also alluded to earlier), such as Schools for a New Society, dedicated to urban high school reform in seven cities across the United States; Teachers for a New Era, focused on improving teacher education and training through the development of excellent schools of education; the Partnership for Higher Education in Africa; the Carnegie Advisory Council on Advancing Literacy to examine both research and reading policies and make recommendations for implementation strategies; and the Carnegie-Knight Initiative on the Future of Journalism Education, which grew out of discussions with the deans of leading journalism schools at four of America's top research universities—Berkeley, Columbia, Northwestern and the University of Southern California, along with the director of the Shorenstein Center at Harvard University—and centers on laying a foundation for developing a vision of what a journalism school can be at an exemplary institution of higher education.<sup>136</sup>

In all of these cases, Carnegie Corporation did not dictate what the work of the commission, task force, council or initiative should be. The focus was instead on channeling the

efforts of experts, educators, policymakers, scholars, and others, under the leadership of those who were dedicated, as was the foundation, to finding real, workable solutions to problems, and to developing substantive evidence and data to support the conclusions that were reached. There is no value to fulfilling preconceived notions about how particular issues should be addressed. Foundations must be neutral in outlook in order to create an environment in which exploration of all relevant areas of learning and knowledge and intellectual insight are encouraged in an atmosphere of intellectual rigor. The Carnegie Scholars Program, which I referred to earlier, does not have templates for how scholars should conduct their work or what their findings should be.

The freedom and ability to explore issues and problems that have not been fully addressed—or addressed at all—by private organizations or government agencies is one of the reasons that American foundations are critical to our society: it's a rare instance in which governments, whether local, state or national, are able to move with alacrity or offer innovative solutions to civic problems, or even develop models to demonstrate how proposed solutions may work in a real-world environment. Foundations *can* operate that way, and the fact that they often *do*, serving as incubators for progressive, even pioneering ideas, provides the public with program and policy alternatives they might otherwise never even know about or have the opportunity to consider. Indeed, perhaps one of the most important attributes of foundations is this very capacity to be flexible, a characteristic that can be of incalculable value in a complex society such as ours, which has so many checks and balances. Institutions can be highly bureaucratized—in fact, one of the ways they protect themselves is by armoring themselves with an elaborate bureaucracy and

<sup>136</sup> Since the initiative was announced in 2005, four more institutions—the Philip Merrill College of Journalism at the University of Maryland; the Missouri School of Journalism at the University of Missouri; the S.I. Newhouse School of Public Communications at Syracuse University; and the School of Communication at the University of Texas at Austin—have joined in the curriculum enrichment component of the initiative.

complicated processes for getting things done. That foundations are able to proceed more quickly, and with wider latitude, to provide model solutions to problems, and to help put important issues on the nation's front burner, highlights the lasting contributions that American foundations make to our nation.

### Worth the Risk?

Every foundation claims that it's in the business of investing in innovation and new, important ideas and therefore, is taking risks. It's hard to identify risk in supporting projects or leaders who have a 99.9 percent chance of success, which is, unfortunately, often closer to the truth about the kinds of undertakings that receive foundation funding. Foundations *should* be in the risk business a lot more than they are because ideas need to be tested. This is particularly important in the policy realm because "solutions" have to be tested, too. Government agencies generally can't present policies to the public with the caveat that they are "risky," but foundations can do just that. They can take a chance on a promising policy, project or idea that may, in the end, turn out to be a failure, because analyzing failure is how to discover what works. This is the time-honored process of scientific research, in which failures are as important as successes. Each failure helps to narrow down the direction to be followed to achieve a successful result. While foundations claim to be in the risk business, many of their staff have a hard time coping with failure because the notion of risk is actually not built into the environment in which they work. With any hint of "failure," foundation staff will worry for their reputations, and grantees may fear that their grants will not be renewed.

It has always surprised me that the social sciences, which are patterned after the basic sciences, appear to be so risk averse. In my ob-

servations, social scientists will sometimes make extravagant claims about what they aim to accomplish, but don't always subject their explorations to a rigorous critique if a particular theory or method failed. Such analyses would boost the standing of the social sciences and promote confidence about future claims. Our competitive culture, where individuals vie for the same federal and corporate dollars, seems to discourage researchers from doing this.

This is the same phenomenon I touched on earlier, when I discussed the tension at research universities between basic research and the need to conduct research with immediate, commercial applications. This tension also exists in the field of philanthropy, not only in regard to research but also in terms of programmatic and project results. It exists on both sides of the donor-grantee relationship. Funders are expected, by the public and by government regulators, to achieve results that can be quickly and succinctly charted, quantified, measured by hard data and reduced to spread-sheet equations. For potential grantees, the competition today for government and philanthropic funding is so intense that the pressure to guarantee a "good outcome" often leads to over-promising what will be achieved. Therefore, at the conclusion of the funded work, nothing but an absolute triumph will be acceptable to all parties involved. (Even if real success was elusive, the claim will be made that "moral victory was ours.") This is where the language used to describe such enterprises begins to sparkle with superlatives, and assurances are given that planned work is "unprecedented," "path-breaking, visionary," or even "unique" (the most abused and overused adjective of all). In the end, if the results are at best mundane, or the project is a failure, cynicism and skepticism that anything *can* be accomplished with a particular issue or in

bringing about some civic, social, scientific or other advancement will be the likely result.

Many foundations, faced with past disappointments in terms of translating the knowledge generated by their work into policy, have switched to funding projects that produce immediate and easily quantifiable results. Understanding this, grantees more often approach foundations with unrealistic goals or claims; program officers all too often accept them as achievable benchmarks. I don't know why I continue to be surprised by a kind of benign neglect in judging the difference between promises made and promises kept about funded projects. Failure to reach stated goals should be followed by in-depth analysis to understand the reasons for it. What happened? What could have been done better, or differently? Even a "failed" project generates some knowledge. Assessing projects this way makes it easier to extract those necessary lessons learned from them and spares the program staff feeling that they showed poor judgment, a lack of foresight, or even were incompetent. Foundations can hardly be the only institutions on earth immune to failure and no one should expect them to be.

At Carnegie Corporation, while we are pleased to share our accomplishments, we do not shy away from discussing those occasions where we have fallen short. In fact, the Corporation was among the first foundations to produce an annual report (it has been doing so for more than eighty years), in an effort to provide a complete and accurate accounting of its work. The responsibility for an institution such as Carnegie Corporation to be accountable for its grantmaking was best summed up by one of our earlier trustees, who declared that it was incumbent upon foundations to have "glass pockets." Today, we uphold that tradition by constantly examining and assessing the impact

of our grantmaking and trying to learn from our failures as well as our successes—and by sharing what we've learned with both the public and the foundation community.

For example, as noted earlier, we take great pride in the fact that we funded *An American Dilemma: The Negro Problem and Modern Democracy*, Gunnar Myrdal's 1944 landmark study on race relations in the United States, but the Corporation did not recognize its importance when the report was completed and did not promote it, in part because it had not fulfilled the somewhat limited purpose for which it was commissioned: to help guide Corporation grantmaking beyond its historic involvement in black education in the South. What the Corporation got, instead, was a clarion call for Americans to live up to the ideals of the American Creed or contemplate a deterioration of the values and vision that unites the country and makes it great. The study has been called "the most penetrating and important book on our contemporary American civilization that has been written,"<sup>137</sup> but was still neglected for a time because it was not the product that the Corporation had planned on.

Similarly, the Carnegie Americanization Study of the early 1920s did not have the impact that the foundation expected. The effort was led by Allen Burns, the executive secretary of the Cleveland Foundation and a former dean of the Chicago School of Civics and Philanthropy. Those involved saw the study "as the first step towards developing the U.S.-wide policy on immigration. Burns had identified an immediate need for such policy 'as the present confusion in Washington is causing increased discontent among our immigrants.'<sup>138</sup> The researchers emphasized

<sup>137</sup> *Gunnar Myrdal and America's Conscience* by Walter A. Jackson (The University of North Carolina Press, 1990).

<sup>138</sup> Burns to Bertram, Jan. 26, 1919 in CCNY Records, Series IIIA (Grant Files), box 41, folder 5.

that Americanization was not an ‘unchangeable political, domestic and economic regime once and for all delivered to the fathers, but a growing and broadening national life, inclusive of the best wherever found. With all our rich heritages, Americanism will develop best [through] a mutual giving and taking of contributions from both newer and older Americans in the interest of the commonwealth.’”<sup>139,140</sup>

The study received almost no public attention and failed to generate support for immigration policies that recognized immigrants’ contributions to the development of the United States. In fact, just the opposite took place. The U.S., in the 1920s, instituted restrictive immigration policies that made a study about incorporating immigrants into American life—the focus of the Carnegie series—seem irrelevant. Now, we look back at the study, which was commissioned by the Corporation’s fourth president, Henry S. Pritchett, and marvel at the fact that, at the beginning of the *last* century, Americans were wrestling with the same issues about immigration and “Americanization” that are part of the national debates going on today, and were equally divided on the subject. Pritchett’s thoughts at the time still resonate: “Some [immigrants] do not find out for years that the public schools are free, that the police do not have the same power as in Russia, that citizenship is possible under certain conditions. The function of the government in dealing with this mass of incoming human beings has been merely to act as a screen for shutting out the most objectionable. No agency attempts to deal with the immigrant’s needs after he has left Ellis Island...a private agency, in good rela-

tions with the government, could put into each newcomer’s hands a brief statement in his own language, of his rights and privileges.”<sup>141</sup>

In recent years, there have also been grants that did not achieve the results we and our colleagues had hoped for. In 2000, the Corporation and other foundations made grants to the Southern African Political Economy Series Trust in Zimbabwe, to support the efforts of the Constitutional Commission of Zimbabwe, which was drafting a new constitution for that country under its president Robert Mugabe. It was the Corporation’s intention to support democratic reform and the rule of law in Zimbabwe through the constitutional process, as well as to support the efforts of constitutional advocates. However, these efforts have fallen short of the mark. The constitution proved to be an ineffective document that did not provide the societal protections we were seeking.

Our library-related work in sub-Saharan Africa has also encountered problems. The needs are so great in Africa that many individuals and organizations are moved to provide immediate assistance without any attention to long-term investments and sustainability. In one case, our eagerness to help improve libraries and library services in selected African nations spurred us to act as donors responding to needs rather than as long-term investors, and certainly, our grantees saw us that way. We wanted to help to develop modern libraries, seeing them, along with African universities, as the engines of change on the continent—a resource that would provide students, citizens, and future leaders with a gateway to knowledge. Instead, our funding was often used to cover costs or as budget relief, not for the intended purpose of helping to create excel-

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139 “Minutes of Study of Method of Americanization, Third Conference, Apr. 15, 1918,” CCNY Records, Series IIIA (Grant Files), box 41, folder 4.

140 Jane Gorjevsky. “Documenting Russian and Eastern European Immigrant Culture in American Manuscript Repositories: Private Philanthropy Archives.” Cited from manuscript to be published in *Slavic & East European Information Resources*, Vol. 7, issues 2/3.

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141 Pritchett, “Fields of Activity Open to the Carnegie Corporation,” Apr. 15, 1916 in CCNY Records, Series I.D (Policy and Program Files), box 1, folder 1.

lent modern libraries. We also spread our resources too thin, trying to fund too many disparate efforts in too many places, which did not produce the kind of substantive improvement we hoped for. We have since reorganized our program for African libraries, focusing on libraries in South Africa, with an overall goal of creating models of excellence that have well-trained staff and that meet the quality and standards set by the International Federation of Library Associations. Increased Internet access is a major priority. We at the Corporation were gratified in July 2006 to help dedicate one of the first such model libraries created with Corporation support, the Bessie Head Library in Pietermaritzburg.

These examples are important because sharing not only our successes but also our “failures” is helpful to the foundation community. If we share our mistakes there is less chance that they will be replicated or repeated, which is a benefit to funders as well as to grantees and potential grantees. We want to know when there are problems and we want to share what we’ve learned about how to confront them. Admitting mistakes gives us the moral courage to ask for the return of grant funds when they have not been used as intended as, for example, when an organization turns out not to have the capacity to carry out the work it had proposed. When the Corporation has faced that situation on a handful of occasions, and asked that grant monies to be returned to us, sometimes we even received interest on the funds being sent back. We are never embarrassed to do this with either domestic or international grantees. It has helped us to develop further checks and balances in our oversight procedures including, when appropriate, reviews by independent firms. How the foundation spends money and how it evaluates its spending are equally important. Some of our

safeguards now include reviewing the financial health of grantee organizations (specifically, review of their financial statements); requiring detailed budgets and annual progress and audited financial reports from grantees, with payments contingent upon adequate progress toward grant goals; and placing additional conditions on grants when there is cause for concern about a project’s structure, the grantee organization’s financial health, or its ability to work toward sustainability.

Grant renewals present their own difficulties. Often, there hasn’t been enough time to evaluate what has been accomplished by the project being funded, or even its potential impact. I’ve sometimes thought there should be some additional process, such as bridge grants, that would allow a project up for renewal to continue until all the information needed for a thorough assessment is available.

While these measures necessarily speak to financial concerns, foundations must also audit intellectual claims and the actual content and outcomes of grant projects. This vigilance on all fronts is good for the nonprofit field at large, and good for the integrity of programs, program officers and consultants. It should encourage better allocation of valuable resources to worthwhile causes.

### “The Knowledge Business”

In the United States today, there are roughly 71,000 grantmaking foundations, an increase of more than 77 percent over a decade.<sup>142</sup> More are being created all the time to serve all kinds of purposes. It seems that whatever a foundation’s charter says, or how a foundation’s staff and Trustees see the world in terms of politics or culture or societal imperatives, in reality, all of us in the philanthropic field

142 “Foundations’ Giving is Said to Have Set Record in ‘06,” *The New York Times*, April 3, 2007.

are in one and the same business: increasing knowledge and creativity, and making sure that knowledge is disseminated as far and wide as possible. From my perspective, what that means is that foundations should not be trying to package knowledge into any kind of ideological fad—there are enough individuals, institutions, political parties and other groups or organizations more than ready to do *that*. Our democracy itself and our society deserve an educated citizenry. Our nation must have a cadre of skilled professionals in the realms of science, technology, medicine, the arts and business. In pursuit of these national goals, we don't need to tell our fellow citizens what to think: Americans have a long tradition of being independent-minded and have no aversion to common sense. We should trust them to come to their own thoughtful conclusions about issues confronting our society—if they are armed with comprehensive, objective facts, I am sure they will reach reasonable and objective conclusions. A foundation's goal is to provide avenues for finding and delivering objective information to all.

It worries me how standardized and uniform our sources of information have become, how obsession with entertainment has trumped the quest for knowledge and how little open, serious and free discussion seems to take place. Even our current use of language itself reflects this state of affairs. The great English language, so rich and so dynamic, seems bereft of much of its precision, vibrancy and creativity. This is partially due to a growing concern with "political correctness." This bland speech reflects a desire to deter any criticism by avoiding clarity and decisiveness. It uses obfuscation as a shield against the contentious ills of our world and our society, which is a dangerous path to follow. Open discussion is vital for the function of democracy, even to its

survival. In that connection, I am reminded of the words of author Nien Cheng, whose book, *Life and Death in Shanghai*,<sup>143</sup> describes her experiences during China's "cultural revolution." She writes, "When the penalty for speaking one's mind is so great, nobody knows what anybody else thinks."

Foundations are not immune to the effects of political, cultural and social trends in our society, including the increasing pervasiveness of political correctness that covers the entire political spectrum, from the left to the right and back again. What concerns me is the impact of these trends, which see some foundations drifting into self-censorship, a pernicious way of repressing ideas and debate. Besides, that's usually a losing battle because there is no way to protect people from ideas. Ideas cannot be made "safe" for people; individuals simply have to make up their minds on their own. This is one of the most important ways that society progresses: through the interplay of ideas, opinions and debate.

While some foundations are ideologically "neutral," or careful, others are not at all averse to stating specific philosophical, political, theological or other positions in order to promote their causes. I am referring, of course, to some operating foundations, which have well-defined political or ideological missions. We at Carnegie Corporation of New York have adopted a different course of action: we do not shy away from supporting scholars, institutions, organizations and projects because of or in spite of their ideological views. The Corporation is committed to the idea of investing in a wide range of both competing and complementary scholars and institutions as one way we can increase and help to create knowledge. Our goal is to augment the sources of

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143 *Life and Death in Shanghai* (Grove Press, 1987).

knowledge that may be drawn upon to inform American leaders and citizens about the issues on the nation's agenda, and thus enrich discussion and debate about them.

A similar philosophy guided the late Ambassador Walter Annenberg when he launched his landmark 1993 Annenberg Challenge. His matching fund grant of \$100 million a year for five years eventually attracted an additional \$600 million in private sector monies and helped to create major public-private bonds on a scale where none existed before. The largest private gift to public schools in U.S. history, the Challenge reached out to groups and individuals working across an extraordinarily diverse spectrum of school reform efforts, many of them already being supported by other foundations. The Annenberg Challenge, which invested in an open marketplace of competing ideas and solutions, did not treat these organizations as contractors for any particular philosophy of reform, but rather sought to empower and invigorate skilled and visionary school reformers. It did so without ideological or political bias of any kind. As noted in *Reconnecting Education & Foundations*, the Annenberg grant funds “had to harness, not supplant, promising local reform efforts.”<sup>144</sup> The Annenberg effort was a “challenge” in the truest sense of the word—not merely financial, but a moral and political challenge, as well—because its intent was to galvanize the nation, to energize and empower educators, administrators, parents, school district personnel, teachers, policymakers and concerned citizens from every walk of life to work in and with their local schools in order to make them better places for children to learn. The Challenge invested heavily in research and evaluation to ensure the

availability of extensive data and analysis and published its data without bias or prejudice. More than anything, the Challenge once again put the urgency of reforming our K-12 educational system on the top of the nation's agenda and all good ideas and promising programs were welcome to offer their contributions.

Because of its distinguished reputation and history, Carnegie Corporation has also been able to be a great convener of diverse individuals and institutions, often providing a venue for differing—even opposing—views to be aired. Since 2000, for example, when we hosted a conversation between the leading education advisors to the Bush and Gore presidential campaigns, attended by an audience of educators, policymakers, nonprofit leaders and others, we have held gatherings called Carnegie Forums to focus on critical issues of national concern. For example, we have held forums on “Money and Politics” with Senator John McCain (R-AZ) as the featured speaker; on “Homeland Security,” with former Senator Gary Hart (D-CO) who had also co-chaired the U.S. Commission on National Security/21<sup>st</sup> Century; and on “Foreign Policy,” which included presentations by James Hoge, editor of *Foreign Affairs*, Richard Cohen, columnist for *The Washington Post*, and Cynthia Tucker, editorial page editor of *The Atlanta Journal-Constitution*. We reprised the 2000 forum by hosting a discussion of education issues relating to the 2004 presidential campaign. Expressing the views of the Bush-Cheney campaign was Sandy Kress, widely acknowledged as the architect of No Child Left Behind; Jon Schnur, a seven-year veteran of the Clinton administration who, during his tenure, served as policy advisor on K-12 education and was White House Associate Director for Educational Policy, highlighted the policies of the Kerry-Edwards campaign.

<sup>144</sup> *Reconnecting Education & Foundations: Turning Good Intentions into Educational Capital*; Ray Bacchetti and Thomas Ehrlich, Editors (The Carnegie Foundation for the Advancement of Teaching, 2007).



Another convening, held before the 2000 presidential election, brought together a wide array of U.S. national security advisors and other experts on Russia—its demography, politics, culture, educational institutions, military and social structure, et al—along with senior policy officials from past administrations whose work had focused on Russia. Our aim in drawing these individuals together was to create policy recommendations about Russia based on bipartisan ideas and inculcating a historical perspective for whichever candidate—Democrat or Republican—became president. During that same year, the Corporation and the MacArthur Foundation convened a distinguished, bipartisan group of experts in Washington, D.C. to discuss the possible consequences of deploying the limited national missile defense system then under consideration by the Clinton administration. A letter was sent by the group, which included former Senator Sam Nunn, retired general John M. Shalikashvili, retired Admiral William A. Owens, Susan Eisenhower, president (now chairman emeritus) of the Eisenhower Institute, Jessica Mathews, president of the Carnegie Endowment for International Peace, former U.S. Secretary of Defense William J. Perry and others, to inform President Clinton of their concerns. In addition, we have convened individuals from different American Muslim groups as well as Carnegie Scholars whose projects focus on different aspects of Islam.

About two weeks after the terrorist attacks of September 11, 2001, the Corporation brought together a large group of individuals representing philanthropic organizations, nonprofits, government agencies and others working on the historic relief effort marshaled in the wake of the attacks. Our aim was to pool information about each other's plans and resources so we did not duplicate each other's activities. No template for such coordination

existed, so it was very important that, from the very beginning of our relief efforts, we all discussed and understood what role each group and organization would play.

More recently, we convened a conference on reforming high schools, held in partnership with *Education Week*, that is being followed by a special series of reports on high school reform to be published by *Education Week* over two years. We also brought together policymakers, scholars and academic experts to discuss U.S. policy toward Eurasia. The meeting addressed questions such as *How do current U.S. policies in post-Soviet Eurasia impact its relations with Russia?* and, *To what extent is the U.S. policy toward the broader region a product of its relations with Russia?* Another recent Corporation-supported gathering took place in Washington, D.C. under the leadership of former Supreme Court Justice Sandra Day O'Connor and Justice Stephen Breyer. This conference, which was sponsored by the Georgetown University Law School and the American Law Institute, focused on "Fair and Independent Courts: A Conference on the State of the Judiciary" and involved leaders from the business and media communities, nonprofit sector, and government, including John G. Roberts, Chief Justice of the United States and Alberto Gonzales, the U.S. Attorney General. Participants addressed such topics as the history and contemporary criticisms of the judiciary; judicial selection and removal at both the federal and state levels; judicial elections; interbranch relations; recent polls of public attitudes; the role of the media; and suggestions for improving the efficiency and effectiveness of the judiciary. In addition, Corporation funding helped to support a significant 2005 "Track II" meeting involving representatives of North Korea and the United States that led directly to resumption of long-stalled official negotiations.

Supreme Court Justice Oliver Wendell Holmes famously stated, “The best test of truth is the power of the thought to get itself accepted in the competition of the market.”<sup>145</sup> The Corporation is committed to helping keep that marketplace healthy, vital, and free. I have written earlier in this essay that too much information can be paralyzing, but so can a shortage of ideas. In trying to diffuse a crisis or deal with long- or even short-term societal issues, the freedom to sort through, evaluate and compare ideas helps to create context and historical perspective. These are necessary to inform decisions about the future. Very rarely is the solution to a problem—even one with vast, international implications—written on a completely blank slate.

Philanthropy in general is sometimes considered by many to be meddling. Perhaps driven by discomfort with the politically committed agendas of so many operating foundations, some Americans have become suspicious of philanthropy, but most are aware of the great benefits that charitable and philanthropic efforts provide to our nation in meeting short-term needs while searching for long-term solutions. But since both charity and philanthropy play such a major role in our society, it is normal for questions to be raised about their intentions and their impact, as well as the regulations and controls that govern their operations.

Many questions about voluntary associations have actually been raised before. Even George Washington feared that nongovernmental organizations would become too powerful—after all, voluntary associations like the Sons of Liberty had helped the colonies defeat England, then the world’s mightiest power. In his farewell address to Congress in 1796, Wash-

ington warned that “cunning, ambitious and unprincipled men” could use these associations to “subvert the power of the people, and to usurp for themselves the reins of government.”

Throughout American history, the practice of sharing wealth for public benefit has periodically rubbed our democratic principles the wrong way. The historian Robert Bremner adroitly captures our mixed feelings about such giving, saying: “We expect rich men to be generous with their wealth, and criticize them when they are not—but when they make benefactions, we question their motives, deplore the methods by which they obtained their abundance, and wonder whether their gifts will not do more harm than good.”<sup>146</sup>

Questioning the motivation of donors is a favorite preoccupation of pundits and spinmasters, but motivation is not the main issue—action is. Transparency is. Impact is. How the money is used for the public good and how it is accounted for is what matters in the end. In that regard, it should be noted that individuals such as Andrew Carnegie, who set up foundations in the early part of the twentieth century, did so when there were no income taxes, so there was no financial benefit for them in giving away their money. Now, in an era of estate tax reform, wealthy individuals could easily choose to keep their money in the hands of their own families, but philanthropy seems to be ingrained in the American character. In 2004, for example, estimated charitable giving was nearly \$250 billion dollars, with individual giving accounting for nearly three-quarters of those funds.<sup>147</sup> And the wealthy are hardly the only donors: About 70 to 80 percent of Americans contribute annually to at least one charity.<sup>148</sup>

145 *Abrams v. United States*, 1919.

146 *American Philanthropy* by Robert H. Bremner (University of Chicago Press, 1988).

147 *Giving USA 2005* (Giving USA Foundation).

148 *ibid.*

It is not only in America that philanthropists, as well as other private, nonprofit organizations, are sometimes viewed with suspicion, and their societal role has even been marginalized by legislation. England enacted its landmark Statute of Charitable Uses in 1601. This law codified the state's responsibility—not any private charitable entity—for assisting the poor, aged and orphaned, as well as for providing hospitals, schools and universities. Other nations on the European continent and elsewhere followed this model, dampening the growth of civil society, a term that refers to all the voluntary entities that operate apart from government and business.

There are similar examples from other parts of the world. In Latin America, because the Church, in the past, was associated with conquering powers and colonial empires, nationalist, liberal, democratic and republican movements sidelined the Church's influence. Over time, with the loss of political power, the Church became identified with providing charity to individuals, while the state promoted the idea that it should be identified with philanthropy aimed at promoting the public welfare. Today, in Latin America, the newly emerging private-sector philanthropies are trying to make a place for themselves without seeming to undermine the state's authority, especially since Catholic and evangelical organizations are among these groups.

Private philanthropic and charitable organizations, while growing in number and the level of giving, must tread lightly in Russia, as the government is clearly concerned about the influence of both domestic and international nonprofits. Newly enacted registration rules and other regulations have brought greater state oversight over Russian and foreign nonprofit organizations operating in the country. Organizations working in the fields of promot-

ing democracy, the rule of law, a free press and human rights have become particular targets of governmental regulations. Most foreign non-governmental organizations, many of which are adoption agencies, have been registered under the new Russian law and are continuing their operations.

An illustration of the way in which charities and philanthropies are sometimes viewed outside the United States can be seen in the reaction of the president of the University of Denmark to an address I gave a few years ago on the subject of raising funds from private sources to help support institutions of higher education. The president was scandalized by the idea, telling me that in his country, it was against the law to solicit private donations for public universities, since supporting those institutions was the responsibility of the state.

All this may soon change because, with the achievements of American philanthropy as both an example and a catalyst, the European Union is considering adopting rules that would encourage more American-style philanthropy. In England, Oxford University recently decided that philanthropic fundraising needed to be an ongoing activity and established a Development Office as part of the University's administration; similarly, the United Kingdom's Cambridge University now conducts fundraising both in Britain and the United States. (In fact, almost all United Kingdom-based universities are now involved in fundraising.) New philanthropies are emerging in Germany, the United Kingdom, Italy, Mexico and elsewhere, and the trend will most likely continue. Philanthropic efforts are even emerging in Asia, especially in relation to health and education.

George Washington was worried that a major force outside of government (such as voluntary organizations), that was in control

of large amounts of money, could play a significant and unpredictable role in our national life and in the government's ability to carry out its responsibilities. But as this "independent" sector has developed, it has come to play a role that complements governmental efforts and has contributed greatly to the evolution of our democracy. In fact, the independent sector has been a true engine of growth for civil society, which, in its modern scale and magnitude, is primarily an American invention. However, it's not surprising that in some quarters of the government, foundations and the like are still seen as potential troublemakers—and in a way, they are. Foundations are agents of change, independent actors whose mission is to help create knowledge and, as appropriate, to challenge the status quo. This is all to the good.

The overwhelming majority of philanthropic foundations in this country absolutely, unquestionably and with utter dedication, use their resources, be they great or small, to do the "real and permanent good in this world" that Andrew Carnegie spoke of. Whether they were created at the beginning of the twentieth century or the cusp of the twenty-first, it's important to remember that they were founded completely voluntarily, by men and women who didn't have to share their resources with anyone else but decided that they had an obligation to contribute to the welfare of their fellow human beings. Is everything foundations have done constructive? Certainly not. Are all the ideas they support popular? Again, the answer may be no. Does everything foundations do, in the end, really contribute to the public good? Yes, but also, perhaps with limitations that we must be aware of. After all, the successful implementation of any idea or proposal requires social acceptance and political will, and both of those take great effort

and often, long spans of time. But the same can be said of all kinds of initiatives launched by private citizens and governmental agencies. Some succeed, some fail; many fall somewhere in the middle. It may be that the only thing we can say with certainty about all the efforts to improve our nation as well as the wider world is that we constantly encounter problems we don't yet know how to solve. After all, our society is always in flux. New challenges emerge. Some endemic problems remain to be solved. It is the obligation of foundations to contribute to helping solve these problems through their grantmaking because they have been endowed with the means to help. Hence, they should always be open to the opportunities that will allow them to invest their resources effectively, wisely, and with all due diligence—but also with both the hope and the confidence that their work is building knowledge that will bring benefits today, and perhaps for generations to come. At Carnegie Corporation of New York, we have been in the knowledge business for nearly one hundred years now, and we look forward, every day, to the next new and important idea we will learn about or help to preserve for posterity, or to disseminate across our nation, even around the globe. Progress, after all, begets progress so there will always be problems that need solving with creativity and an eye to a future that is better, more inclusive of all humankind—and more at peace—than the one we inherited.

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## Conclusion

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It must be obvious to all who have come into contact with any aspect of America's nonprofit sector that this segment of our society is not a monolith. Even its diversity is diverse! This is certainly the case with the three institutional cultures that were the subject of this essay,

namely, libraries—and by extension, museums with similar missions—universities, and philanthropy. Libraries and museums have been with us for a very long time; so have universities, for that matter, and so has charity. But as has been discussed, philanthropy—specifically, the “scientific” version that Andrew Carnegie and John D. Rockefeller championed—is primarily rooted in the 19<sup>th</sup> century, and, until recently, predominantly an American phenomenon. It is gratifying, though, to find that the notion of philanthropy and of civil society is beginning to spread across the world.

The three cultures highlighted here have distinct traditions and function in different ways, but there are also certain commonalities among them. For example, they are all dedicated to the preservation of cultural and historical legacies and to the creation of knowledge, to the advancement of learning and scholarship, to the promotion of the common good, and they all have faith in Progress, however one may define that concept. In our democratic society, all three stand for opportunity and for freedom. Today, they stand as living monuments, testaments to philanthropy—to the right of individuals to dedicate their private wealth to the common good, not only for the benefit of our society but for the international community, as well. In that regard, I am particularly proud of the fact that, along with many of our sister institutions, Carnegie Corporation’s grantmaking is carried out across national and international borders and across political spectrums. We have supported and continue to support excellence, innovative ideas, sound scholarship, and the creation and dissemination of knowledge.

Of course, all the institutions that this essay deals with have one common goal: to promote knowledge and educate our citizens as well as to serve our society. All three help

to provide Americans with a sense of ownership, of having a stake in the strength and vibrancy of our democracy and of our society. What they also have in common is that, as American institutions, they know that they owe their existence to the support of the public, either through government funding or contracts—because citizens have made clear to their elected officials that they want these supports in place—or through private generosity in the form of contributions both large and small. After all, it is the citizens of the United States who have made giving a right and also supported tax-exemption for giving. It is they, the public, who have institutionalized private generosity and hence, have the right to insist on transparency, accountability and integrity in both philanthropy and charity. More and more now, an invaluable combination of public/private funding is becoming the norm, at least in our country. The institutions highlighted in this essay can be seen as models for those partnerships.

One example of America’s continuing commitment to the institutions that embody these cultures and their service in the name of what I’ve termed the knowledge business is our expenditures for education. The U.S. Department of Education currently (FY 2007) administers a budget of about \$88.9 billion per year—\$57.6 billion in discretionary appropriations and \$31.3 billion in mandatory appropriations—and operates programs that touch on every area and level of education.<sup>149</sup> But that is

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149 From the web site of the U.S. Department of Education, <http://www.ed.gov/about/overview/budget/index.html?src=ln>: “The Department’s elementary and secondary programs annually serve more than 14,600 school districts and approximately 54 million students attending more than 94,000 public schools and 27,000 private schools. Department programs also provide grant, loan, and work-study assistance to more than 10 million postsecondary students... That said, it is important to point out that education in America is primarily a State and local responsibility, and ED’s budget is only a small part of both total national education spending and the overall Federal budget.”

only a portion of the public funding devoted to education: state and local expenditures on all levels of education in 2001-2, for example, were \$594.6 billion.<sup>150</sup> Private philanthropy provides many billions more for both K-12 education as well as for colleges and universities. As Americans, in addition to our fiscal commitment to education—which is each generation’s investment in the future of the next, as well as in the strength of our nation and its democracy—we should take pride in the fact that even with its many challenges, the educational system of the United States still offers remarkable opportunities to its citizens as well as to international students. And when it comes to our colleges and universities, there is no argument that many of them are still the greatest in the world.

It should be an additional source of pride that from 1862 on, with the advent of the Land-Grant Colleges Act (the Morrill Act) establishing institutions of higher education in every state, access to colleges and universities—which at one time was a pipe dream for the majority of Americans—has become a reality for increasing numbers of students. In fact, in this nation, through our public universities, we have democratized access to education and nationalized opportunity. Yet in the realm of education, where our nation has seen opportunities provided and promises fulfilled, there continues to be a dismaying disequilibrium. While more than 16.6 million individuals enrolled in four-year institutions of higher education in 2002,<sup>151</sup> just 54 percent of students entering four-year colleges in 1997, for example, had a degree six years later.<sup>152</sup>

150 Institute of Education Sciences, National Center for Education Statistics. [http://nces.ed.gov/programs/digest/d05/tables/dt05\\_028.asp?referer=list](http://nces.ed.gov/programs/digest/d05/tables/dt05_028.asp?referer=list).

151 From the web site of the U.S. Census Bureau: <http://www.census.gov/compendia/statab/tables/06s0265.xls>.

152 “U.S. college drop-out rate sparks concern,” The Associated Press, published on MSNBC.com (et al), November 15, 2005. <http://www.msnbc.msn.com/id/10053859/>.

What also ties together libraries, universities, and philanthropic organizations is their faith in the future and their common goal of educating our citizens and serving both our democracy and its institutions. They also believe in the power of private-sector philanthropy as an important form of participatory democracy—in fact, as one of the foundations of our society. In that connection, let us remember that while the concept of scientific philanthropy is relatively new, traditions of charity and nascent philanthropy trace their roots to the early years of our nation’s independence. One of my favorite examples of how the American public recognized and praised the spirit of volunteerism that seemed to abound in the newly formed United States appears in the September 1787 edition of the *Pennsylvania Herald*, which carried laudatory letters to the editor about the large number of new voluntary associations that seemed to be springing up everywhere. One correspondent called the citizens’ movement “a great leap forward in humanity.” The new associations included a society for the gradual abolition of slavery, a society for the promotion of political inquiries, a society devoted to the medical relief of paupers, and the Philadelphia Society for Alleviating the Miseries of Public Prisons.

It is important not to forget how deeply rooted public support for culture, learning, museums, libraries, and colleges and universities is in the early history of our country. The first museum established in America was—and is—the Charleston Museum, founded in 1773 to preserve and interpret the cultural and natural history of Charleston and the South Carolina Lowcountry. The first library was the Library Company of Philadelphia, founded in 1731 by Benjamin Franklin and a group of his friends—but it was a subscription library; individuals had to buy “shares” in the library

in order to borrow books. The first publicly supported municipal library that allowed people to borrow books was the Boston Public Library, established in 1848, though there were other libraries opened in the American colonies as early as the 1600s. Education, of course, has also long been publicly supported in our nation. Chartered in 1789, the University of North Carolina was the first public university in the United States to award degrees. In fact, the university was anticipated by a section of the first state constitution drawn up in 1776 directing the establishing of “one or more universities” in which “all useful learning shall be duly encouraged and promoted.” State support, it directed, should be provided so that instruction might be available “at low prices.”<sup>153</sup>

Today, philanthropy continues to be a unique hallmark of our nation and our people. The most recent results reported by Independent Sector in a 2001 survey of giving and volunteering show that 44 percent of adults volunteered and 89 percent of households made contributions. Taken altogether, in that one year alone, these voluntary efforts translate into \$239 billion in gifts and nearly 15.5 billion hours of volunteer work. Indeed, philanthropic giving is increasing, rising by about 5.5 percent in 2005 over the previous year.<sup>154</sup> This generosity, in part, helps to support the nation’s more than 4,000 colleges and universities, its 17,500 museums and over 117,000 libraries, including 9,000 public libraries.

What is perhaps most heartening about American philanthropy is its nature: it is a diverse tapestry woven from the contributions of individuals, families, corporations, foundations, nonprofit organizations and institutions, as well as others. It also transcends classes,

ethnic groups, races, and ideologies and, in doing so, is truly representative of our nation’s pluralism and deep-seated independence. Alphabetically, organizations supported by the public and dedicated to the public good range from Accountants for the Public Interest to the YWCA. It is this kind of public spirit and a belief in each other that we must look to for the antidote to the cynicism that so often, nowadays, seems to be invading our national life.

Indeed, philanthropy without optimism, without faith that solutions to problems can be found, without faith in the future, would be impoverished and diminished. This is especially true nowadays, when our society is rampant with corrosive cynicism. (I can understand the benefits of skepticism, but not cynicism—just as I can understand agnosticism, but not nihilism.) Cynicism offers no help for dealing with the myriad issues we are facing as we move forward through the 21<sup>st</sup> century. In an increasingly globalized society, unfortunately, there are no longer “isolated problems” that are confined to one continent, one region, one country alone. What happens to people anywhere eventually affects all of us. We are not and cannot be isolated islands.

I remember having read that our nation is a potentiality, which is always in a state of becoming. The outcome of that process depends on the nature and commitment of our participation as citizens. As Andrew Carnegie pointed out, as citizens, we have an obligation “to do real and permanent good in this world,” which is also what he hoped to do—and wanted the Corporation to do—in carrying out his philanthropy. Sometimes, for both people and institutions, such efforts require taking stock, aligning our goals with our resources, and reinventing ourselves. Libraries and universities are in a continual state of refining and reimagining

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<sup>153</sup> The University of North Carolina at Chapel Hill: <http://www.unc.edu/about/history.html>.

<sup>154</sup> Since 1995, this number has either risen or held steady.

their work, which is part of what keeps them so vital. So are philanthropic organizations.

No institution can afford to simply bask in its past accomplishments. One must always be prepared for change and keep up with it—perhaps even get a few steps ahead. That is certainly the case with Carnegie Corporation of New York. We have a long tradition of meeting the challenges of the times. That is why, concurrent with writing this essay, over a year-long period, we embarked on a process of refocusing and reorganizing our programs and structure in order to reenergize our institution—a process that will be familiar to most evolving institutions. One of my favorite authors, Gabriel Garcia Marquez, in his book *Love in the Time of Cholera*, speaks of the conviction that human beings are not born once and for all on the day that their mothers give birth to them, but that life obliges them, over and over again, to give birth to themselves. All during its history, the leaders, staff, and Trustees of Carnegie Corporation have understood the wisdom of that idea and embraced it.

While renewing our vision for the work of the Corporation and updating our plans, we remain mindful of the fact that as a foundation, while we are a source of support for those organizations whose mission advances the spirit of Andrew Carnegie's concern with advancing and diffusing knowledge and understanding, we are not the primary actors carrying out this work. We can provide assistance, even inspiration, in convening like-minded groups and organizations and in coalescing their efforts, but the successes they achieve are their own. We are in the business of helping to build leadership, but it is the leaders and institutions we support who are in the business of making change happen. In providing that support, the benefit to the Corporation is that it remains contemporary

and relevant. As proud as we are of Carnegie Corporation's great heritage, our sights are set on the future. We understand how important it is to be forward looking and strategic, rather than paralyzed by the burden of the past.

The freedom and the ability to reconstitute our work and our goals is one of the great gifts provided by our founder, and we are grateful to him for his remarkable foresight. Andrew Carnegie's mandate is broad enough to be always timely. And the two major concerns that he devoted himself to—international peace and advancing education and knowledge—still remain great challenges to our nation and the world. International peace is tested day after day by competing national interests, globalization, nationalism, religious fundamentalism, competing ideologies, poverty, demography, migration, the rise of authoritarian and totalitarian regimes, competition for water and for energy, challenges of health care, as well as the impact of environmental changes on the economies and well-being of literally every society. Education is still the crucial element in meeting all of the above challenges. It remains a liberating force and an unmatched instrument of economic and social progress as well as, one hopes, a bridge of understanding and peace that links all of us together.

The Corporation is not alone in emphasizing the need to see the world as it is today as clearly as possible, and to respond. Indeed, foundations as a social force and as engines of progress have an increasingly important role to play in maintaining the health and strength of our civil society, which in turn is an essential ingredient of our democracy—but also of our global society. In the United States, at least, the magnitude of the economic and social impact of foundations is enormous, as is their contribution to public life. In 2005 alone,



U.S. foundations provided over \$30 billion in grants, a figure that will only increase in the years to come.

I believe that foundations are here to stay. They are one of the great cornerstones of American philanthropy, which, as Susan Berresford, president of the Ford Foundation so aptly put it, “refers to altruistic concern for human beings and assistance to advance human welfare. It encompasses a spectrum from charity that addresses suffering, to the strategic use of resources for addressing root causes.”<sup>155</sup> Let me add that increasingly, foundations also draw strength from their diversity and their ability to reconceive how they do their work and carry out their missions. That does not mean that they are in the “fashionable idea” business—not at all. Throughout changing times, what remains constant about foundations is that they are in the knowledge and service business—hence, in society’s business. Indeed, all three cultures that have been highlighted in this essay—libraries, universities and philanthropy—are the gateways to knowledge, preserving, generating, modeling and disseminating what human beings need to know in order to renew themselves and their societies. They are the bridges that cross any and all distances to connect us to the rest of the world. And as such, these institutions are, and I believe will remain, the building blocks of the future. As Americans, and as citizens of the world, we are indebted to all of them and to the generous and creative spirit of those who have dedicated themselves to improving our society and the world we all share.

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155 “Remarks by Susan V. Berresford at Duke University’s Fuqua School of Business,” February 6, 2007.



# 2004 Report on Program

## GRANTS AND DISSEMINATION AWARDS

*Education*

*International Development*

*International Peace and Security*

*Strengthening U.S. Democracy*

*Special Opportunities Fund*

*Carnegie Scholars*

*Dissemination*

*Anonymous \$15 Million in Grants to Cultural and  
Social Service Institutions in New York City*

## Ongoing Evaluation Enhances the Corporation's Grantmaking Strategies in 2004

**Carnegie Corporation of New York continually reassesses program strategies to ensure fulfillment of Andrew Carnegie's mandate for the foundation, set down in 1911, to promote the advancement and diffusion of knowledge and understanding in order to do real and permanent good in this world. Perhaps never before in our history has there been such an urgent need to keep these goals in mind.**

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### Closing the Loop

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Revising and refining the evaluation process in an effort to sharpen grantmaking strategies was a particular preoccupation for the Corporation in fiscal year 2004, in which the foundation conceptualized every part of the grantmaking system as a loop, with each element integrally connected with every other part. Keeping in mind the context in which Corporation grantmaking occurs, program staff set goals using a theory of change to determine a logical

way to reach stated objectives and then develop a strategy to facilitate that theory of change. Significantly, the process does not end at this stage. Rather, staff members then assess the effectiveness of grants in order to knit together the ends of the loop and provide feedback to the process, enabling the reconception of a theory of change and modification of strategies, as necessary. This "closing off," this assessment, is essential to the Corporation as a grantmaking structure and enables the foundation to operate more effectively.

Although the Corporation has been remarkable in its capacity to intuit what the important issues might be and to fashion strategies that realize those intuitions, these successes represent only a portion of

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our grantmaking. The question that the foundation continues to address is how can Carnegie Corporation become more effective in *all* its grantmaking?

Under the direction of the Corporation's vice president and director for strategic planning and program coordination, Neil Grabois, a Council on Evaluation was formed three years ago, which continues to play a key role in formalizing the evaluation process. While striving to determine the effectiveness of the Corporation's program investments, it is clear that some results may be difficult to measure. The Corporation, for example, funds Track II negotiations (unofficial activities that support diplomatic engagement) that are conducted outside of the public domain and by their very nature are extremely difficult to document, yet can make significant contributions in behind-the-scenes negotiations.

In October 2003, program staff developed strategy papers to inform Corporation grantmaking for two-to-three years, with some modifications expected. These papers serve as a guide and touchstone for evaluating projects and rethinking the emphases of our investments as institutional programs mature and begin to yield demonstrable results.

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## Education

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A new focus for the Corporation in the Education Division this year is the *Advancing Literacy* initiative, which has begun to make grants to address the crisis of adolescent literacy, as well as grants to address the need for teacher education programs that train educators to help students in the fourth grade and beyond comprehend informational text as well as narrative text.

This program fits naturally into the context of two ongoing initiatives: *Schools for a New Society* and *Teachers for a New Era*, both of which have produced initial results. For example, the effort to meet the ninth grade literacy challenge has resulted in improved promotion rates at this grade level in Chattanooga, with significant increases in the most troubled schools there and increased scores on statewide high school examinations in Boston, Worcester, Sacramento, San Diego and Providence. The creation of new small schools and small learning communities within the high school setting has resulted in increased attendance and reduced disciplinary problems and in higher performance on Massachusetts statewide tests by students in these smaller groups than by students in large schools.

The *Teachers for a New Era* initiative has ignited debate about teacher education programs well beyond the 11 institutions that the Corporation funds, and numerous teacher education programs are considering performance, evidence-based systems rather than input-driven systems. Teacher education and adolescent literacy are both now critical issues on the nation's agenda.

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## International Development

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As part of its ongoing assessment of programs, the Corporation has reconceived the International Development subprogram aimed at strengthening African universities. For example, in South Africa, the foundation had funded very narrowly focused programs, bringing an historically disadvantaged university together with an historically advantaged university, so that the two institutions could work together to improve the quality of their programs. However, in recent years, the university context in South Africa has changed, with the number of universities reduced to eliminate vestiges of the apartheid system. In reviewing this new context, the Corporation has decided to focus future grantmaking on funding up to three universities that have the potential to maximize changes in the nation's education priorities.

In 2000, the Corporation formed a partnership with the Ford, MacArthur and Rockefeller foundations, which together have committed more than \$100 million to African universities. Under the aegis of this group, four case studies have been completed and a journal of higher education has been established. Corporation-supported universities have improved, developing strategic plans, strengthening management structures, upgrading laboratories and making other significant institutional changes.

Since 2000, 800 women have been awarded scholarships under the Corporation's subprogram to enhance women's opportunities in higher education, including 100 women in South Africa, many of whom are from rural areas and studying in fields in which women are under-represented, such as math, science and economics.

The overall goal of the subprogram that focuses on revitalizing libraries in three African nations is to help create models of excellent national and public libraries that have high-quality facilities, well-trained personnel and first-rate book collections. Efforts include a special focus on Internet connectivity.

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## International Peace and Security

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Under the International Peace and Security program, the Corporation has provided support to create 13 Centers for Advanced Study and Education (CASEs) in a network of universities in Russia, Belarus and the South Caucasus. As part of the program's effort to support higher education in the former Soviet Union, grants have also been awarded to 1,000 individuals, including support to

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*The Corporation's biosecurity initiative is a new effort to address the issue of biological weapons.*

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enable 100 people to work in U.S. universities. The Corporation has joined the John D. and Catherine T. MacArthur Foundation in developing Basic Research in Higher Education, a network of 16 Russian university centers in the fundamental sciences. Members of Congress have also attended Corporation-sponsored Aspen Institute seminars about the complexities of Russian economic, military, foreign policy and social issues.

The Corporation's biosecurity initiative is a new effort to address the issue of biological weapons. This subprogram is concerned with researching related issues—including how terrorists obtain materials for constructing

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biological weapons, how the weapons are distributed and whether efforts to criminalize such activities are effective—in order to determine how to effect policy change.

Other subjects addressed through the International Peace and Security program include a global approach to nonproliferation, recommendations on U.S. policy regarding weaponization of space and a new framework for U.S.-Russian relations.

With regard to Track II efforts, options have been developed for responding to North Korean nuclear aspirations, handling the India-Pakistan relationship and many other areas that involve diplomatic engagement. One of the efforts in this area is the Jefferson Science Fellows Program that allows mid-career scientists to work in the Department of State developing policy options regarding scientific advances.

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## Strengthening U.S. Democracy

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As part of Corporation efforts to identify and overcome structural barriers to civic participation, a joint project undertaken by the Massachusetts Institute of Technology and the California Institute of Technology examined voting machine criteria for effective voting mechanisms and helped shape the national debate on the subject. Corporation grants also addressed the issue of campaign finance reform that advanced financing in Arizona, Maine and several other states. Although this area of support was expected to wind down, so many issues surfaced in the 2004 election that the Corporation may consider extending support for this effort.

To address attitudinal barriers to civic participation, Carnegie Corporation has

funded work to promote youth civic engagement, helping with the development of model programs and publishing *The Civic Mission of Schools*, a report jointly prepared with CIRCLE (The Center for Information and Research on Civic Learning and Engagement) at the University of Maryland and now a standard reference in the field.

A relatively new emphasis of the Strengthening U.S. Democracy program is immigrant civic integration. A network of national and local organizations serving immigrants has received support to provide legal assistance and advice about naturalization. In addition, research is underway to determine how to help new immigrants become citizens and to address issues of immigration, including the fact that new immigrants now often settle in areas such as Nebraska and Iowa, rather than in states on the coasts.

To strengthen the nonprofit sector the foundation is funding organizations involved with developing capacity-building tools, devising ways to link organizations with potential board members and designing an electronic network that inspired the Internal Revenue Service to allow electronic filing of 990 forms. In addition, ten states have replicated a standards of excellence program for nonprofit organizations, and *The Nonprofit Quarterly* has become a national publication and has tripled its subscription base.

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## Carnegie Scholars

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Since its inception in 1999, the competitive Carnegie Scholars Program has accepted applications from 575 candidates and funded 67 one- or two-year fellowships to individual scholars, including 15 scholars in the Class of 2004. The scholars have been awarded

up to \$100,000 each to conduct research in a wide range of fields that relate to Corporation programs.

As the program has matured, Corporation staff members have explored how best to move forward, and Vartan Gregorian, president of the Corporation, recently announced a structural change to reconceive the focus of research. Beginning with fiscal year 2005, scholars concentrating their studies on Islam and Muslim communities are to be funded, so as to enhance knowledge about Islam as a religion and develop knowledge in the United States about Muslim communities and nations and their role in our world. The emphasis on disseminating research results will continue.

The decision to coordinate the efforts of the scholars was made, in part, because the Corporation recognizes the political and social significance of Islam and the Muslim worlds. Muslims are represented in countries around the world; in the United States alone Muslims

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*The decision to coordinate the efforts of the scholars was made, in part, because the Corporation recognizes the political and social significance of Islam and the Muslim worlds.*

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comprise 1 to 2 percent of the population. Another factor that mitigated in favor of refocusing the program is that concentrating research efforts in one area will allow the scholars to substantially inform and re-enforce each other's work. It is likely that after a period of three years, the Corporation will determine a new focus for the program.



## Advancing Literacy

AMERICAN INSTITUTES FOR RESEARCH IN THE BEHAVIORAL SCIENCES, *Washington, DC*

A DESCRIPTIVE STUDY OF THE ALABAMA READING INITIATIVE. FOURTEEN MONTHS, \$300,700.

The Alabama Reading Initiative (ARI) is a K-12 statewide literacy strategy that brings research-based reading instruction and professional development to classrooms and teachers in Alabama. To date, 17,000 teachers in over 485 schools have participated in the initiative; 27 percent of the participating schools are middle and high schools. To study the effectiveness of the initiative in secondary schools, the American Institutes for Research in the Behavioral Sciences is conducting interviews, surveys, classroom site visits and secondary analysis of student outcomes. A final report is to be disseminated to key policymakers, forming the basis of a national discussion of ARI's procedures, successes and barriers. The overall goal is to design a middle and high school literacy framework that can be used as a model in other states.

CARNEGIE CORPORATION OF NEW YORK, *New York, NY*

RESEARCH AND ANALYTIC SUPPORT FOR THE CARNEGIE ADVISORY COUNCIL ON READING TO LEARN. NINE MONTHS, \$250,000.

The Carnegie Advisory Council on Reading to Learn, comprising scholars and practitioners in the field of literacy, was formed to examine the state of adolescent literacy in the United States, identify key barriers to improving adolescent literacy and build a broader knowledge base for teaching successful reading beyond the third grade. In 2003, in support of the council, RAND Corporation undertook an examination of adolescents' literacy achievement across the nation, relative to state and national literacy goals. Results of the study are to serve as a guide to council members as they focus on increasing

the public's knowledge of adolescent literacy and begin to develop policy recommendations.

JOHNS HOPKINS UNIVERSITY, *Washington, DC*

EXPEDITING COMPREHENSION AND ENGLISH-LANGUAGE LITERACY. EIGHTEEN MONTHS, \$350,000.

The growth in the number of students learning English as an additional language, the shortage of qualified bilingual education teachers and the requirement in most states for all students to meet standards in core subject areas and pass tests for graduation compound the challenges the United States faces in helping English-language learners (ELLs) to succeed in school. Researchers from Johns Hopkins University's Center for Research on the Education of Students Placed at Risk are designing a professional development program for middle- and high-school teachers of English, science and social studies—areas of study that often have large numbers of ELL students in the classroom. This professional development program focuses on four core areas: vocabulary, fluency, writing and strategic processing of texts.

UNIVERSITY OF KANSAS, CENTER FOR RESEARCH, INC., *Lawrence, KS*

BUILDING A COMPUTER ADAPTIVE TEST FOR ASSESSING READING COMPREHENSION. TWO YEARS, \$509,600.

In 1999, the RAND Reading Study Group was charged with developing a research agenda to address the most pressing issues in literacy. The group's report, *Reading for Understanding: Toward an R & D Program in Reading Comprehension* (2002), revealed that understanding how to improve reading-comprehension outcomes for all students entails identifying three interrelated core elements: the reader who is doing the comprehending; the text that is to be comprehended; and the activity of which comprehension is a part. Currently, such data are either inadequate or non-existent (particularly in secondary schools). The University of Kansas' Center

for Research on Learning, in partnership with the Center for Educational Testing and Evaluation, is designing a computer-adaptive test that will enable teachers to make reliable and valid assessments—closely tied to curricula—about which students are succeeding with which texts in which activities and which students need further help.

MICHIGAN STATE UNIVERSITY, *East Lansing, MI*

DEVELOPING AN INSTRUCTIONAL MODEL AND ASSESSMENTS TO GAUGE CHILDREN'S COMPREHENSION OF INFORMATIONAL TEXT. EIGHTEEN MONTHS, \$169,500.

As children progress from upper elementary school through middle and high school, informational text becomes the cornerstone of curriculum, but for many students this kind of text is found to be impenetrable. In fact, reading experts agree that the need and failure to understand informational text is one of the causal factors in the infamous “fourth grade slump,” partly because early education in reading, which centers on narrative, tends not to lay the foundation for successful reading of informational text in the primary grades. Researchers at Michigan State University are developing an array of assessment tools to gauge children's comprehension of informational text and implementing a promising instructional model of comprehension instruction for the primary grades.

UNIVERSITY OF MICHIGAN, *Ann Arbor, MI*

DEVELOPMENT AND DISSEMINATION OF TOOLS TO ADVANCE THE PRACTICES OF LITERACY COACHES TO SUPPORT SUBJECT-MATTER COMPREHENSION INSTRUCTION. TWO YEARS, \$405,900.

The most recent National Assessment for Educational Progress (NAEP 2003) confirms that although younger students' achievement scores have shown some improvement in literacy skills, students transitioning to secondary school are not showing gains in literacy performance. The use of literacy coaches, who can assist teachers in making content area courses more comprehensible, is one promising strategy for addressing this challenge, but there is minimal training for literacy coaches

and little clarity in the field about the skills and knowledge needed to be an effective coach. A team of researchers at the University of Michigan is developing and disseminating a computer-based program for literacy coaches that provides them with an array of media—including video clips, transcripts of classroom dialogue, teacher interviews and commentary from researchers—to support teachers' learning about text comprehension instruction.

UNIVERSITY OF PITTSBURGH, *Pittsburgh, PA*

INSTITUTE FOR LEARNING'S DISCIPLINARY LITERACY PROFESSIONAL DEVELOPMENT SYSTEM. TWO YEARS, \$552,200.

The goal for content-area teachers is to help students “think, read and write” like historians, mathematicians, scientists or other disciplinary specialists. However, very few students are able to read and comprehend text at a level high enough to aid them in this process. Interventions have been developed that promote the idea that every teacher is also a reading teacher, but secondary-school teachers do not see themselves as literacy instructors and are often reticent to take on the additional responsibilities. The University of Pittsburgh's Institute for Learning has designed a disciplinary literacy professional development system that shows teachers the ways in which reading and writing are specific to a discipline, allowing them to integrate literacy instruction into disciplinary instruction. The institute is developing additional modules for implementation in a number of urban districts across the country.

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## Higher Education

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ACADEMY FOR EDUCATIONAL DEVELOPMENT, INC., *Washington, DC*

TEACHERS FOR A NEW ERA: A CORPORATION INITIATIVE TO REFORM AND IMPROVE THE EDUCATION OF TEACHERS. THREE YEARS, \$13,059,600.

Carnegie Corporation is undertaking a reform initiative, Teachers for a New Era, to stimulate

development of excellent teacher education programs at selected colleges and universities. The initiative is organized according to three design principles: teacher education programs should be guided by a respect for evidence; faculty in the disciplines of the arts and sciences must be fully engaged in the education of prospective teachers; and education should be understood as an academically taught clinical practice profession. After a thorough review process, seven institutions were selected for funding; two received funding in June 2003 and two in October 2003. The Annenberg Foundation is contributing funds for one institution during the second round of awards. The Corporation will fund the remaining two institutions. The Academy for Educational Development serves as fiscal agent.

AMERICAN COUNCIL ON EDUCATION,  
*Washington, DC*

A COLLABORATING PROJECT WITH DISCIPLINARY ASSOCIATIONS ON INTERNATIONALIZATION IN U.S. POSTSECONDARY EDUCATION. EIGHTEEN MONTHS, \$135,000.

In 2000, the American Council on Education (ACE) released a preliminary report on the extent to which education in the United States, primarily at the undergraduate level, provided students with international knowledge and expertise. Research showed that little progress had been made since 1985 in internationalizing campuses nationwide and that undergraduates were not gaining the necessary levels of international understanding to effectively function in an emerging global environment. This grant supports ACE's work with four disciplinary associations that are identifying appropriate student outcomes for undergraduate global learning in each of the disciplines—attending to general education curricula as well as upper-level coursework in the academic major—and developing action plans to promote internationalization within each discipline. ACE will develop a web site to publish the learning outcomes collectively, with links to relevant information and materials.

CARNEGIE CORPORATION OF NEW YORK,  
*New York, NY*

TECHNICAL ASSISTANCE ASSOCIATED WITH THE TEACHERS FOR A NEW ERA INITIATIVE. ONE YEAR, \$1,330,000.

In June 2001, the Corporation launched an ambitious reform initiative, Teachers for a New Era, to stimulate the construction of excellent teacher education programs at selected colleges and universities. The initiative is organized by three design principles: teacher education should be informed by a respect for evidence, including attention to pupil learning gains; faculty in the disciplines of the arts and sciences must be fully engaged in the education of prospective teachers; and education should be understood as an academically taught clinical practice profession requiring close cooperation between colleges of education and schools. The Academy for Educational Development is providing technical assistance to the eleven selected sites, as well as serving as fiscal agent.

CARNEGIE CORPORATION OF NEW YORK,  
*New York, NY*

TECHNICAL ASSISTANCE ASSOCIATED WITH THE TEACHERS FOR A NEW ERA INITIATIVE. FOUR MONTHS, \$117,000.

The Corporation's reform initiative, Teachers for a New Era, was established to stimulate the construction of excellent teacher education programs at selected colleges and universities. Organized by three design principles—that teacher education should be informed by a respect for evidence; faculty in the disciplines of the arts and sciences must be fully engaged in the education of prospective teachers; and education should be understood as an academically taught clinical practice profession—the initiative has provided funding to eleven institutions. The Academy for Educational Development is providing technical assistance and conducting on-site capacity building activities; a national evaluation of the initiative is being undertaken by RAND Corporation.

CHATTANOOGA-HAMILTON COUNTY PUBLIC  
EDUCATION FUND, *Chattanooga, TN*

RESEARCH AND DISSEMINATION ON ISSUES OF TEACHER  
QUALITY. TWENTY-FIVE MONTHS, \$150,000.

While there is a history of evaluating effective teaching strategies, only recently has it been possible to link student learning to a specific teacher, thereby allowing for an examination of teaching practices by teachers whose students achieve the highest results in school testing. Based on student and teacher data available in Tennessee, the Chattanooga-Hamilton County Public Education Fund (PEF) undertook an evaluation of teachers whose students made the greatest gains in achievement. With this grant, the fund is conducting a follow-up study to incorporate a larger sample of teachers, including high school teachers, comparative data with teachers of children who progress at various levels, more efficient survey and observational tools and an expert advisory group.

UNIVERSITY OF CINCINNATI FOUNDATION,  
*Cincinnati, OH*

PLANNING AND TECHNICAL ASSISTANCE TO  
STRENGTHEN A RESEARCH PROJECT EXAMINING THE  
EFFECT OF TEACHER PREPARATION AND INDUCTION ON  
STUDENT LEARNING. ONE YEAR, \$200,000.

The Teacher Quality Partnership at the University of Cincinnati is a unique consortium comprising all fifty teacher preparation institutions in Ohio, the Ohio Board of Regents and the Ohio Department of Education. To examine the impact of teacher education, the partnership is undertaking a research project on the preparation, in-school support and effectiveness of elementary and secondary teachers of mathematics and English/language arts. The study focuses on the relationship between Ohio's teacher education programs and the effectiveness of teachers prepared by those programs. The goal is to identify the elements of teacher preparation that have a positive impact on K-12 achievement.

COUNCIL FOR AID TO EDUCATION, *New York, NY*

FINAL GRANT TOWARD AN ASSESSMENT SYSTEM TO  
MEASURE THE "VALUE ADDED" OF A LIBERAL ARTS  
EDUCATION. ONE YEAR, \$400,000.

In 2000, the Council for Aid to Education, a subsidiary of the RAND Corporation, began an effort to assess the quality of undergraduate education in the United States. An eighteen-month feasibility study, conducted to initiate the development of an assessment system that measures the value added of a liberal arts education—the competencies, knowledge and values gained by an individual attending a particular institution—has now successfully concluded. Members of the project then began to identify undergraduate students in multiple types of institutions to measure actual student learning, and to create a model and incentive for continuous improvement of higher education. With this grant, the project, called the Collegiate Learning Assessment, is transitioning to full implementation and self-sustaining operations.

COUNCIL FOR BASIC EDUCATION, *Washington, DC*

SUPPORT OF THE STANDARDS-BASED TEACHER  
EDUCATION PROJECT. THREE YEARS, \$465,100.

The Standards-based Teacher Education Project (STEP), a joint program of the Council for Basic Education and the American Association of Colleges for Teacher Education, engages faculty from colleges of education and the arts and sciences in a systematic review and redesign of teacher preparation programs. The project helps participating campuses ensure that new teachers graduate with a thorough knowledge of their chosen subject matter and the ability to help their future students meet state and national academic standards. Currently working with 43 institutions in 7 states, STEP is expanding to additional states and institutions; creating assessment models that align student learning and teacher performance; and developing a strategic plan for the Arts and Sciences Teacher Education Collaboration (ASTECC), the new iteration of Project 30, which was created with Corporation support, to strengthen its impact by building campus-wide commitment to teacher preparation.

JAMES B. HUNT, JR., INSTITUTE FOR EDUCATIONAL LEADERSHIP AND POLICY FOUNDATION, INC.,  
*Chapel Hill, NC*

ONE-TIME FUNDING TOWARD THE ANNUAL GOVERNORS' EDUCATION SYMPOSIUM. ONE YEAR, \$399,300.

While an array of individuals, groups and programs—including teachers, parents and guardians, principals, school boards, chief state school officers, school district superintendents, collective bargaining units, teacher preparation programs, corporate and civic leaders—are crucial to ensuring effective public education, governors are singular in their ability to influence public-education stakeholders across the spectrum. The James B. Hunt, Jr., Institute for Educational Leadership and Policy was founded in 2001 to promote education reform by helping governors to develop, implement and sustain education agendas. The institute's first Governors' Education Symposium, held in June 2004, aimed to provide governors with an understanding of the critical role teachers play in student learning. Strategies that equip states to recruit, prepare, place and retain the most able teachers are also being developed. Intensive consultations with a subset of the participating governors on policies to strengthen teacher quality will follow the symposium.

UNIVERSITY OF PENNSYLVANIA, *Philadelphia, PA*  
A NATIONAL INITIATIVE FOR ASSESSMENT REFORM.  
EIGHTEEN MONTHS, \$150,000.

Recent research confirms that the teacher is the most important factor in student achievement. New ways of measuring student success that assess the value added by education—the competencies, knowledge and values gained by an individual attending a particular institution and working with a particular teacher—show promise in enabling accountability on the part of individual educators for student learning. Operation Public Education, based at the University of Pennsylvania's Center for Greater Philadelphia, is undertaking a nationwide project to disseminate information on value-added assessment, which is currently used in 300 school districts and

several states, to promote its use in additional states and districts.

STANFORD UNIVERSITY, *Stanford, CA*

RESEARCH EXAMINING THE EFFECT OF TEACHER PREPARATION ON STUDENT LEARNING AND TEACHER LABOR MARKET DECISIONS. THREE YEARS, \$799,000.

A team of researchers at Stanford University and the University at Albany, State University of New York, are undertaking a project to identify the specific aspects of teacher preparation programs that enhance teacher effectiveness and shape teacher labor market decisions, particularly in relation to the number of teachers who choose to teach in difficult-to-staff schools. The study, which entails both qualitative and quantitative analysis, is focusing on components of preservice education, including program structure, subject-specific teacher preparation, field experiences, preparation to work with learners and preparation for diversity and urban settings. Corporation funds are being used to analyze the components of teacher preparation programs that lead to literacy gains at the elementary school level.

UNIVERSITY OF WASHINGTON, *Seattle, WA*

FINAL GRANT TOWARD SUPPORT OF THE STRENGTHENING AND SUSTAINING TEACHERS PROJECT. THIRTY MONTHS, \$386,100.

The University of Washington's Strengthening and Sustaining Teachers (SST) project aims to build a new model of teacher development in two urban school districts: Seattle, Washington, and Portland, Maine. Central to the project is the development of a system of interlocking support between preservice teacher preparation, teacher induction during the first two years of teaching and professional development opportunities that extend throughout a teacher's career. The project engages three partners—public school districts, unions and universities—in each site. With Corporation support, SST is deepening its work in Portland, drafting a paper that examines all three components of teacher preparation, developing systematic data collection and analysis and disseminating information on the model to encourage broader adoption.

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## Urban School Reform

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ASPEN INSTITUTE, INC., *Washington, DC*

CONGRESSIONAL PROGRAM ON EDUCATION.

ONE YEAR, \$411,400.

The Aspen Institute's Congressional Program on Education brings members of Congress together with leading scholars and practitioners for seminars and an annual retreat to examine education issues central to national interest, and to develop effective policy responses. The February 2004 retreat enabled participants to examine the nature of the achievement gap; gain a sense of the early implementation of the No Child Left Behind Act; understand the interplay between standards, accountability, resources and policy in two districts engaging in systemic reform; and explore the kinds of policies needed to support more effective transitions from high school to post-secondary education. A frequent seminar series in Washington engages legislators in ongoing dialogue with scholars and education policy experts.

CABIN CREEK CENTER FOR WORK AND ENVIRONMENTAL STUDIES, INC., *New York, NY*

DOCUMENTARY FILM ON THE DEVELOPMENT OF ONE OF THE NEW CENTURY HIGH SCHOOLS IN THE BRONX (HIGH SCHOOL FOR CONTEMPORARY ARTS).

ONE YEAR, \$350,000.

Through the New Century High Schools Consortium for New York City—a \$30 million collaboration between the Corporation, the Bill & Melinda Gates Foundation and the Open Society Institute—43 small high schools have been created in the Bronx and Brooklyn. One of them, the High School for Contemporary Arts (HSCA), opened September 2003. HSCA captured the attention of two-time Academy Award-winning filmmaker Barbara Kopple, founder of the Cabin Creek Center for Work and Environmental Studies. Cabin Creek is now producing a documentary film about the process of developing HSCA's learning environment, highlighting students, teachers and community partners, and the school year as it gets underway.

CARNEGIE CORPORATION OF NEW YORK,  
*New York, NY*

TECHNICAL ASSISTANCE AND EVALUATION SERVICES FOR THE SCHOOLS FOR A NEW SOCIETY INITIATIVE.  
ONE YEAR, \$850,000.

The Corporation's Schools for a New Society initiative, which aims to foster comprehensive, systemwide school reform, supports seven cities that are implementing five-year action plans designed to transform high schools into effective communities of high-quality teaching and learning. Critical to the initiative is a three-pronged approach of technical assistance, evaluation and knowledge development. The Academy for Educational Development, in collaboration with the Annenberg Institute for School Reform and New York University, has been working closely with the Corporation and the Bill & Melinda Gates Foundation to provide high quality technical assistance to the sites. A national cross-site evaluation to track changes across districts and generate knowledge about high school reform in a variety of settings has also been undertaken by SRI International and American Institutes for Research.

CENTER ON EDUCATION POLICY, *Washington, DC*

SUPPORT TO MONITOR THE IMPLEMENTATION OF THE NO CHILD LEFT BEHIND ACT AT THE STATE AND DISTRICT LEVEL. TWO YEARS, \$400,000.

The 2001 No Child Left Behind Act (NCLB) was passed to improve student achievement and ensure that all children have access to a high-quality education. The act requires states to measure every public school student's progress in reading and math in grades 3 through 8, and at least once during grades 10 through 12. By school year 2007-2008, assessments in science will be underway. These assessments must be aligned with state academic content and achievement standards. The Center on Education Policy (CEP) is undertaking a project to monitor the effects of NCLB as implementation commences. In addition to surveying a stratified national sample of 300 school districts and writing 30 case studies, the center will interview state officials to learn how they are complying with the act

and what obstacles they are facing. An annual report will be disseminated to stakeholders in government and education, and CEP will provide briefings for journalists and policymakers.

EDUCATION TRUST, INC., *Washington, DC*

RESEARCH AND DISSEMINATION ON THE ACHIEVEMENT AND OPPORTUNITY GAPS IN AMERICAN EDUCATION.

TWO YEARS, \$600,000.

The Education Trust, a nationally respected advocacy organization, is conducting a project to provide educators and civic leaders nationwide with access to national, state and local field data, data analysis and assistance with interpreting and using data for planning. The goal is to enable reform leadership to examine the achievement gap, identify ways in which it can be overcome and consider critical policies and practices with potential for success. The project is researching, developing and disseminating PowerPoint presentations to assist users in understanding data on teacher quality, middle and high school reform and successful urban district practices and policies. Additional attention is being focused on district-level success in addressing the achievement gap and determining what states can do to increase teacher quality and the equity of teacher distribution.

ETV ENDOWMENT OF SOUTH CAROLINA, INC.,  
*Spartanburg, SC*

*SCHOOLS THAT WORK*, A DOCUMENTARY FILM ON URBAN SCHOOL REFORM. ONE YEAR, \$200,000.

Large-scale educational change, particularly at the district level, is essential to transforming conditions for teaching and learning in individual schools, but limited public knowledge about effective approaches that help all students academically achieve undermines support for both public schools and reform. Hedrick Smith Productions, Inc., in association with South Carolina Educational Television Network, is making *Schools that Work*, a documentary film that identifies strategies of district reform that merit replication in other settings. The first hour of the film features expert commentary to help viewers understand what makes each strategy

effective. The second hour provides coverage of three districts working to achieve widespread reform and close achievement gaps between white and minority students across all schools in these districts. Hedrick L. Smith is a Pulitzer Prize-winning former foreign correspondent, editor and Washington bureau chief for *The New York Times*. Hedrick Smith Productions, Inc., specializes in public affairs documentaries, discussion programs and associated educational materials.

JOBS FOR THE FUTURE INC., *Boston, MA*

AN INITIATIVE ON MAKING DROPOUT AND PUSHOUT ISSUES A PRIORITY OF HIGH SCHOOL REFORM.

TWO YEARS, \$500,000.

Research confirms that nearly one-half of 9th grade students will not complete high school in one-fifth of the nation's schools. Dropout prevention and recovery is a growing challenge, particularly in urban districts serving low-income, immigrant and minority students. Several districts engaged in urban high school reform have begun to implement systemic approaches to keeping youth in school and reconnecting others to pathways to postsecondary education. Jobs for the Future (JFF), drawing on its 20-years of experience, is documenting and disseminating leading-edge strategies used by reform leaders in a number of communities to provide information to other districts undertaking similar efforts. JFF is also producing tools and policy guidelines for school districts, organizing a learning institute for teams from eight communities and providing customized strategic consultation to additional sites.

NATIONAL COALITION OF COMMUNITY FOUNDATIONS FOR YOUTH, *Basehor, KS*

SUPPORT OF SYSTEMIC STRATEGIES FOR STRUGGLING STUDENTS. EIGHTEEN MONTHS, \$500,000.

Urban high school reform efforts have revealed a growing crisis: many ninth graders are 16 or older, and only half the students entering high school reach their senior year. The Youth Transitions Funders Group, a consortium of national and local philanthropies working on behalf of disconnected youth and young adults, has designed a framework

for an 18-month strategic planning initiative that will provide support for developing systemic approaches to addressing this crisis in up to five selected cities. The initiative will be administered by the National Coalition of Community Foundations for Youth, a network of more than 220 community foundations dedicated to securing improved conditions for children, youth and families. Funds will support site-level and capacity-building work by a national intermediary.

RESEARCH FOR ACTION, *Philadelphia, PA*

EVALUATION OF PHILADELPHIA'S MIXED-MODEL APPROACH TO URBAN SCHOOL REFORM. TWO YEARS, \$300,000.

In December 2001, the State of Pennsylvania took control of the Philadelphia public schools, making the School District of Philadelphia the largest school district in the country ever put under direct state control. The initial state proposal for management of Philadelphia schools by Edison Schools, Inc., gave way to a model involving multiple for-profit, nonprofit and university partners. In March 2003, Research for Action, a Philadelphia-based nonprofit educational research organization began studying the effectiveness of the Philadelphia strategy. The research is being conducted by a consortium of researchers, drawn from multiple organizations and institutions. The research will be made widely available through innovative outreach strategies to help build the civic capacity to sustain reform in Philadelphia.

WESTED, *San Francisco, CA*

FINAL GRANT TOWARD STRENGTHENING A MODEL OF ADOLESCENT LITERACY ACQUISITION. TWO YEARS, \$400,000.

Although many teachers and superintendents recognize that improving literacy is vital to promoting student achievement and addressing equity in the school system, high school teachers in the United States have as their primary responsibility the teaching of content in areas such as literature, math, science and history, and generally have little training for accelerating their students' acquisition of literacy skills. WestEd's Strategic Literacy

Initiative (SLI), a program to improve literacy among low-achieving high school students, trains teachers to integrate the teaching of literacy skills into a content-driven curriculum. SLI is developing tools and materials for the project, creating an infrastructure to increase regional support throughout the country and disseminating information to high school reform constituents.

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## Other

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ASSOCIATION OF GOVERNING BOARDS OF UNIVERSITIES AND COLLEGES, *Washington, DC*

ESTABLISHING AN INSTITUTE ON GOVERNANCE FOR PUBLIC COLLEGE AND UNIVERSITY CHIEF EXECUTIVES. TWO YEARS, \$75,000.

Special challenges confront chief executives of public higher education institutions, which enroll about 75 percent of all baccalaureate students in the United States. Responding to concerns about the governance of these institutions, the Association of Governing Boards of Universities and Colleges (AGB) created the Center for Public Higher Education Trusteeship and Governance to improve the processes of governing board appointments and advocate merit-based selection procedures through independent, nonpartisan or bipartisan screening. While this long-term effort at systemic reform continues, AGB is developing the Institute on Governance to provide chief executives with training to increase their capacity in board development. The institute, which is being established in collaboration with the American Association of State Colleges and Universities and the National Association of State Universities and Land-Grant Colleges, focuses on leadership development for public higher education institutions.

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## Discretionary Grants

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ALL KINDS OF MINDS, *Chapel Hill, NC*

ONE-YEAR GRANT OF \$50,000 TOWARD MISSING THE POINTS, A PLANNING PROJECT THAT TARGETS THE



COMPREHENSION CHALLENGES FACING CHILDREN IN  
MIDDLE CHILDHOOD

COLLEGE OF THE ATLANTIC, *Bar Harbor, ME*

TWO-YEAR GRANT OF \$50,000 TOWARD A SUPPORT  
NETWORK FOR TEACHER TRAINING

UNIVERSITY OF CALIFORNIA, *Berkeley, CA*

TWO-YEAR GRANT OF \$50,000 TOWARD A COMMISSION  
ON GENERAL EDUCATION IN THE 21ST CENTURY

CARNEGIE FOUNDATION FOR THE ADVANCEMENT  
OF TEACHING, *Stanford, CA*

ONE-YEAR GRANT OF \$50,000 TOWARD A PROJECT  
TO EXAMINE AND IMPROVE THE RELATIONS BETWEEN  
FOUNDATIONS AND EDUCATIONAL INSTITUTIONS

UNIVERSITY OF CHICAGO, *Chicago, IL*

ONE-YEAR GRANT OF \$50,000 FOR A PLANNING GRANT  
FOR DESIGN AND INITIAL IMPLEMENTATION OF A STUDY  
ON THE POST-SECONDARY EXPERIENCES OF STUDENTS  
IN THE CHICAGO PUBLIC SCHOOLS

COUNCIL FOR BASIC EDUCATION, *Washington, DC*

SIX-MONTH GRANT OF \$49,000 FOR A STUDY ON THE  
EFFECT OF THE NO CHILD LEFT BEHIND ACT ON  
ACCESS TO LIBERAL ARTS EDUCATION

FLORIDA STATE UNIVERSITY RESEARCH  
FOUNDATION, INC., *Tallahassee, FL*

ELEVEN-MONTH GRANT OF \$24,500 FOR A PLANNING  
GRANT TO STUDY LEADERSHIP FOR LITERACY

GREATER WASHINGTON EDUCATIONAL  
TELECOMMUNICATIONS ASSOCIATION, INC.,  
*Arlington, VA*

ONE-YEAR GRANT OF \$50,000 TOWARD *DO YOU SPEAK  
AMERICAN?*, A MACNEIL/LEHRER PRODUCTIONS'  
EDUCATIONAL OUTREACH DOCUMENTARY PROGRAM

INTERNATIONAL READING ASSOCIATION,  
*Newark, DE*

SIX-MONTH GRANT OF \$25,000 FOR THE  
DEVELOPMENT OF STANDARDS AND CERTIFICATION  
FOR MIDDLE SCHOOL LITERACY COACHES

UNIVERSITY OF KANSAS, CENTER FOR RESEARCH,  
INC., *Lawrence, KS*

ONE-YEAR GRANT OF \$29,900 FOR A "STUDY OF  
SUCCESSFUL REFORM MODELS IN URBAN SCHOOLS:  
IDENTIFYING FACTORS THAT LEAD TO SUSTAINED  
IMPROVEMENT IN LITERACY OUTCOMES FOR AT-RISK  
ADOLESCENTS"

KNOWLEDGEWORKS FOUNDATION,  
*Cincinnati, OH*

ONE-YEAR GRANT OF \$25,000 TOWARD THE OHIO  
DEPARTMENT OF EDUCATION'S WORK TO TRANSFORM  
URBAN HIGH SCHOOLS

NATIONAL ACADEMY OF SCIENCES,  
*Washington, DC*

ONE-YEAR GRANT OF \$50,000 TOWARD A STRATEGIC  
PLAN TO CONNECT RESEARCH TO EDUCATION PRACTICE  
AND POLICY

NATIONAL BOARD FOR PROFESSIONAL TEACHING  
STANDARDS, INC., *Arlington, VA*

EIGHT-MONTH GRANT OF \$50,000 TOWARD  
DEVELOPMENT OF A FIVE-YEAR STRATEGIC PLAN

NATIONAL CENTER FOR FAMILY LITERACY, INC.,  
*Louisville, KY*

ONE-YEAR GRANT OF \$45,800 FOR A PILOT PROJECT TO  
ENGAGE PARENTS IN THE LITERACY DEVELOPMENT OF  
THEIR ADOLESCENT CHILDREN

NEW YORK INSTITUTE FOR SPECIAL EDUCATION,  
*Bronx, NY*

ELEVEN-MONTH GRANT OF \$50,000 FOR THE DESIGN  
OF A SECONDARY-SCHOOL FRAMEWORK FOR THE  
CORNERSTONE NATIONAL LITERACY INITIATIVE  
PROGRAM

NEW YORK UNIVERSITY, *New York, NY*

NINE-MONTH GRANT OF \$25,000 FOR A WORKING  
MEETING OF SUPERINTENDENTS OF PREDOMINANTLY  
BLACK SUBURBAN SCHOOL DISTRICTS

UNIVERSITY OF PENNSYLVANIA, *Philadelphia, PA*

ONE-YEAR GRANT OF \$50,000 FOR A STUDY AND BOOK  
ON LARGE-SCALE IMPROVEMENT IN COMMUNITY  
DISTRICT #2 IN NEW YORK CITY

RUTGERS, THE STATE UNIVERSITY OF NEW JERSEY,  
*New Brunswick, NJ*

ONE-YEAR GRANT OF \$49,400 FOR IMPROVING  
LITERACY ACHIEVEMENT IN NEW JERSEY, GRADES 4-8

SOUTHERN CENTER FOR INTERNATIONAL STUDIES,  
INC., *Atlanta, GA*

TWENTY-SEVEN-MONTH GRANT OF \$50,000 TOWARD  
AN INDEPENDENT EVALUATION OF THE CENTER'S  
UNIVERSITY-BASED TEACHER-TRAINING PROGRAM

TEMPLE UNIVERSITY, *Philadelphia, PA*

ONE-YEAR GRANT OF \$25,000 FOR DISSEMINATION OF  
INFORMATION AND LESSONS EMANATING FROM THE  
ORGANIZING FOR EDUCATIONAL EXCELLENCE PROJECT

UNIVERSITY OF TENNESSEE, *Chattanooga, TN*

ONE-YEAR GRANT OF \$25,000 FOR A TEACHER  
EDUCATION ACCOUNTABILITY PROJECT

UNIVERSITY OF VIRGINIA, *Charlottesville, VA*

TWO-YEAR GRANT OF \$50,000 FOR A THEORETICAL  
FRAMEWORK TO STUDY THE DEVELOPMENT OF  
EFFECTIVE TEACHERS

# International Development

## Enhancing Women's Opportunities In Higher Education

UNIVERSITY OF DAR ES SALAAM, *Dar es Salaam, Tanzania*

SCHOLARSHIP PROGRAM FOR UNDERGRADUATE WOMEN. THREE YEARS, \$2,100,000.

The female scholarship program at the University of Dar es Salaam aims to help the university bridge its gender gap in the undergraduate population, with a special emphasis on the sciences and engineering. To date, 150 students have received scholarships, 29 percent of whom are enrolled in science-based programs. With this grant, the university is recruiting three additional cohorts of students. The scholarship program is collaborating with the university's existing science pre-entry program for women, a six-week remedial course in math and science, to increase the percentage of scholarships awarded to science students. Counseling and career development programs are also being developed to improve retention, and expanded outreach programs will focus more intensively on women and science.

MAKERERE UNIVERSITY, *Kampala, Uganda*

SCHOLARSHIP PROGRAM FOR UNDERGRADUATE WOMEN. THREE YEARS, \$2,020,500.

Makerere University's Female Scholarship Initiative aims to increase enrollment and retention of women undergraduates, especially in science and technology programs. The initiative gives priority to women from disadvantaged backgrounds and from parts of Uganda that traditionally send few students to university. In addition to financial support, the initiative encourages retention of students through regular forums about students' concerns. To date, 353 women have received scholarships; 65 percent are studying in a science or technology discipline.

With this grant, the university is recruiting another three groups of students. Tutoring and career development programs will be added, as will expanded outreach aimed at changing societal attitudes about women and science.

SIMMONS COLLEGE, *Boston, MA*

TECHNICAL ASSISTANCE BY THE CENTER FOR GENDER IN ORGANIZATIONS FOR SELECTED AFRICAN UNIVERSITIES UNDERTAKING GENDER EQUITY INITIATIVES. EIGHTEEN MONTHS, \$201,100.

Universities in Ghana, Nigeria, Tanzania and Uganda, in partnership with the Corporation, are working to create environments in which both men and women can thrive, a challenging task for institutions worldwide. The Center for Gender in Organizations at Simmons School of Management, Simmons College, has built a significant body of knowledge on strengthening gender equity in the workplace. Its staff and affiliate faculty members have experience assisting organizations to manage the change process, using an approach that links workplace equity and effectiveness. With this grant, the Corporation's partner universities are drawing on the center's expertise as they work to implement their gender-equity strategies. The center is also facilitating research on the process of transformation within the universities.

UNIVERSITY OF EDUCATION, *Winneba, Ghana*

PLANNING A STRATEGY TO ACHIEVE GENDER EQUITY AT THE UNIVERSITY. EIGHTEEN MONTHS, \$100,000.

At the University of Education, Winneba, which trains pre-tertiary teachers and teachers for teacher training colleges, women comprise only 30 percent of the student population and less than 8 percent of associate professors and senior lecturers. These imbalances not only influence the futures of women at the university, but also create gender imbalances in Ghana's basic education sector. With this grant, the university is developing a strategy to effect greater gender equity. The planning process includes

training and workshops, review of existing university policies and studies to identify the scope of the problem and explore possible solutions. A vice-chancellor's committee on gender will be created to supervise the process, which will be carried out by a gender action team and assisted by a consultant.

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## Revitalizing Public Libraries

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CITY OF CAPE TOWN, *Cape Town, South Africa*

CREATION OF A MODEL REFERENCE LIBRARY IN  
CAPE TOWN. THREE YEARS, \$2,000,000.

The Corporation's library program in sub-Saharan Africa supports the creation of model libraries that can serve as centers of excellence in accordance with international standards set by the International Federation of Library Associations. The goal is to build libraries that offer Internet access for the public, trained staff to assist the public and up-to-date reference, fiction and nonfiction materials or access to these materials. Libraries selected for Corporation funding have strong leadership and are strategically located within systems that receive considerable support from the government. The City of Cape Town, with the strongest library service in South Africa, has 98 branch libraries and a central library ideally situated in city hall, next to the main railway station, bus terminal and taxi rank. With this grant, the library is building on its already strong reference collection, focusing on art, indigenous literature, local history, entrepreneurship and the children's library collection.

LIBRARY AND INFORMATION ASSOCIATION OF  
SOUTH AFRICA, *Pretoria, South Africa*

ESTABLISHMENT OF A DATABASE AND TRAINING UNIT.  
THREE YEARS, \$499,500.

The Library and Information Association of South Africa (LIASA) was formed with support from the Corporation to succeed two racially divided library associations created during apartheid. With this grant, LIASA is undertaking three major activities. First, the association is developing

a database of all accredited training courses for librarians offered in South Africa to provide both librarians and employers with information about professional development courses. Second, the directors of the Corporation-funded model libraries will attend a leadership program developed with Mellon Foundation funding for a group of South African library leaders at the Mortenson Center For International Development Programs. Third, the chairs of LIASA interest groups—which host regular meetings for academic librarians, public librarians and specialist librarians to discuss issues of mutual concern—will be trained to host workshops, seminars and mentorship programs and to facilitate local training programs on effective library practices and the use of new technology in libraries.

MSUNDUZI MUNICIPALITY, *Pietermaritzburg, South Africa*

CREATION OF A MODEL JUNIOR REFERENCE LIBRARY IN  
PIETERMARITZBURG. THREE YEARS, \$2,028,600.

In Africa, where libraries are understood and used as educational centers where adults and children can congregate—often because they provide the only such space available in the community—they are critical to development. Msunduzi Municipality's central library in Pietermaritzburg is developing a junior reference library, which will feature storytelling, holiday programs, assistance with school-related and recreational projects and an enhanced collection of dictionaries, encyclopedias, newspapers and various audiovisual materials. Internet access and training in new technology for staff members are also being supported; the library will also be used as a base to train other librarians. The Corporation's library program in sub-Saharan Africa supports the creation of model libraries that can serve as centers of excellence in accordance with international standards set by the International Federation of Library Associations.

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## Strengthening African Universities

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AHMADU BELLO UNIVERSITY, *Zaria, Nigeria*

INSTITUTIONAL STRENGTHENING, INCLUDING GENDER EQUITY PROJECTS. THREE YEARS, \$2,000,000.

Ahmadu Bello University is the third Nigerian university—joining Obafemi Awolowo University and the University of Jos—selected to be part of the Corporation's initiative to strengthen universities in Africa. Having identified institutional priorities through a strategic planning process, the university is carrying out three projects aimed at improving capacity for teaching, research and service. First, the university is creating a planning and resource mobilization unit to ensure the effective use of university resources. Second, the university aims to facilitate conditions for expansion of postgraduate enrollment through improving postgraduate management, providing staff development and visiting professorship opportunities in selected fields and upgrading laboratory facilities, particularly in the recently established Centre for Biotechnology Research and Training. Third, a new gender policy unit will lead the university's efforts to develop internal gender-responsive policies and practices, expand female participation and inform public perceptions, practices and policies as they relate to gender issues.

ASSOCIATION OF AFRICAN UNIVERSITIES,  
*Accra-North, Ghana*

DEVELOPMENT OF A DATABASE OF AFRICAN THESES AND DISSERTATIONS. SIXTEEN MONTHS, \$134,500.

To build capacity in African universities to use electronic media to collect, manage and provide access to African theses and dissertations, the Association of African Universities is developing a Database of African Theses and Dissertations (DATAD). DATAD's pilot phase encompassed eleven institutions in ten countries and resulted in an online database. During the next phase of the project, a business plan for scaling-up and sustaining DATAD is being developed, as is a copyright and intellectual

property guide. In addition, two Nigerian universities are joining DATAD. Members of the project will also maintain and enhance the web site and produce a CD-ROM version of the database.

CARNEGIE CORPORATION OF NEW YORK,  
*New York, NY*

TECHNICAL ASSISTANCE AND ASSESSMENT SERVICES FOR AFRICAN UNIVERSITIES. ONE YEAR, \$750,000.

In April 2000, the Corporation and three other foundations—Ford, MacArthur and Rockefeller—launched the Foundation Partnership to Strengthen African Universities (now known as The Partnership for Higher Education in Africa), an initiative aimed at generating and sharing knowledge about African higher education; identifying and directing support to a few universities with strong leadership and innovative reform strategies; and advocating on behalf of African universities among other funders. In 2004, the Corporation completed a first round of technical assistance funding to universities in Ghana and Nigeria and began a second round of technical assistance funding to universities in Tanzania and Uganda.

COUNCIL ON HIGHER EDUCATION, *Pretoria, South Africa*

IMPLEMENTATION OF A NATIONAL QUALITY ASSURANCE FRAMEWORK FOR THE SOUTH AFRICAN HIGHER EDUCATION SYSTEM. TWO YEARS, \$250,000.

The South Africa-based Council on Higher Education, established under the Higher Education Act of 1997, is charged with promoting quality in higher education, auditing the quality assurance mechanisms of higher education institutions and managing the accreditation of higher education programs. This mandate covers public universities, technikons (technical universities) and private providers of higher education. A national quality assurance system is essential to providing governance to and guidance of the quality of higher education provision in South Africa, as well as to ensuring the full delivery and implementation of uniform standards and accreditation procedures. With this grant, the council is extending and further

strengthening the frameworks, procedures and policies that have been implemented with previous Corporation support.

UNIVERSITY OF DAR ES SALAAM, *Dar es Salaam, Tanzania*

IMPLEMENTATION OF INSTITUTIONAL TRANSFORMATION. THREE YEARS, \$2,968,300.

In 1993, the University of Dar es Salaam (UDSM) initiated a project to develop and implement strategies for institutional reform, with the overall goal of contributing to the social and economic development of Tanzania by enhancing the capacity of the university to provide training, research and outreach services of the highest quality. In 2000, with a grant from the Corporation, the university began to build on the project—strengthening and computerizing the library system, enhancing its information and communications infrastructure and increasing opportunities for women. In addition, UDSM is undertaking initiatives to improve teaching methodology, develop a system for quality assurance for teaching and learning, promote conservation and appreciation of Tanzania's cultural and archeological heritage and pilot technology incubators that target operators of small- and medium-sized enterprises, graduates of the university and graduates of other training programs.

UNIVERSITY OF GHANA, LEGON, *Accra, Ghana*

LEVERAGING COMPARATIVE STRENGTHS AND COMPETENCIES IN THE UNIVERSITY OF GHANA THROUGH INFORMATION AND COMMUNICATIONS TECHNOLOGY. THREE YEARS, \$1,637,300.

In an initiative to strengthen African universities, the Corporation and its partners—the Ford, Rockefeller and MacArthur foundations—have identified Ghana, along with Tanzania, Uganda and Nigeria, as a country committed to the development of a market economy, public administration reforms, democratic institutions and vital universities. Based on its innovativeness, leadership and commitment to gender equity, the University of Ghana, Legon, was selected to receive funding for a project to strengthen its information and communications infrastructure.

The university is upgrading equipment, offering workshops to train technical personnel in systems administration, database management and web site development and computerizing and automating its library information system. This project builds on the results of an initial grant to enhance the instructional and research effectiveness of the academic teaching staff.

MAKERERE UNIVERSITY, *Kampala, Uganda*

INSTITUTIONAL DEVELOPMENT. THREE YEARS, \$2,999,900.

In 2000, Makerere University completed a five-year institutional development plan and in June 2001 and April 2002 the Corporation awarded support for a series of projects aimed at achieving the university's objectives. With this grant, the university is continuing to implement institutional development strategies, including seven projects initiated with previous Corporation support and two new projects focused on the development of university capacity for the mobilization of resources and the use of electronic applications and processes for learning. The overall goal is to contribute to the social and economic development of Uganda.

NATIONAL COUNCIL FOR TERTIARY EDUCATION, *Accra, Ghana*

ONE-TIME FUNDING TOWARD ESTABLISHING A SECRETARIAT FOR GHANA'S COUNCIL OF VICE CHANCELLORS AND DEVELOPING ITS BUSINESS AND ACTIVITY PLANS. EIGHTEEN MONTHS, \$207,400.

The Committee of Vice Chancellors and Principals (CVCP) was established in 1965 as a policy forum for Ghana's public universities. To date, CVCP remains Ghana's only collective and independent voice for public universities. The organization has become especially important as competition for public funding has increased and universities have come under pressure to persuade members of the public and government of their critical role in development. With this grant, CVCP is strengthening its infrastructure, reviewing its goals and revamping its activities, developing both a strategic plan and business plan and initiating a sustained process of

educational outreach, marketing and fundraising for public universities. In addition to technical assistance provided directly to the universities for proposal writing, fundraising, research administration and alumni relations, this grant, through CVCP, will enhance the capacity of Ghanaian public universities to secure public, foundation and private support for their long-term financial viability. The National Council for Tertiary Education is providing financial and reporting oversight.

NEW YORK UNIVERSITY, *New York, NY*

POSITION AT THE STEINHARDT SCHOOL OF EDUCATION TO FACILITATE THE WORK OF THE FOUNDATION PARTNERSHIP TO STRENGTHEN AFRICAN UNIVERSITIES. TWO YEARS, \$187,400.

In 2000, the Partnership to Strengthen Universities in Africa was launched by the Corporation and the Ford, Rockefeller and MacArthur foundations. In 2001, New York University accepted a proposal to host a partnership facilitator for two years, for which the four foundations provided a grant, each foundation contributing 25 percent toward the cost of the facilitator, a student assistant and the implementation of partnership activities. With this grant, the university will continue to host a facilitator to coordinate communications between the staff members of the foundations as well as with leaders of universities and other higher education institutions in Africa. In addition, the grant supports the implementation of a strategic plan for collaborative grantmaking. The facilitator works under the supervision of a four-member steering committee, made up of one person from each of the four partner foundations.

UNIVERSITY OF EDUCATION, *Winneba, Ghana*

DISTANCE EDUCATION, STUDENT INTERNSHIP AND GRADUATE STUDIES. THREE YEARS, \$1,686,000.

The University of Education, Winneba, was established in 1992 to train teachers for early childhood, primary and secondary education, teacher-training colleges and the informal education sector. Currently, 13,500 students are enrolled at the university—10,000 fulltime and 3,500 in distance

education—with women constituting 31 percent of the student body. With this grant, made under the Initiative to Strengthen African Universities, the university is enhancing its distance education programs for students working toward formal degrees in primary education; fostering yearlong student internships in schools for students of Bachelors of Education during their fourth and final year of training; and strengthening and expanding the School of Research and Graduate Studies. The goal is to improve the quality of Ghana's teacher education, thereby improving student achievement at all levels of education.

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## Discretionary Grants

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AMERICAN LIBRARY ASSOCIATION,  
*Washington, DC*

SIXTEEN-MONTH GRANT OF \$49,000 FOR A STUDY ON THE IMPACT OF FEDERAL REGULATIONS REQUIRING PUBLIC LIBRARIES TO PROVIDE READER PROCLIVITIES

ASSOCIATION OF AFRICAN UNIVERSITIES,  
*Accra-North, Ghana*

ONE-YEAR GRANT OF \$50,000 TOWARD THE RESTRUCTURING AND REVITALIZATION OF THE ASSOCIATION OF AFRICAN UNIVERSITIES

ASSOCIATION OF AFRICAN UNIVERSITIES,  
*Accra-North, Ghana*

NINE-MONTH GRANT OF \$50,000 TOWARD THE RESTRUCTURING AND REVITALIZATION OF THE ASSOCIATION OF AFRICAN UNIVERSITIES

ASSOCIATION OF AFRICAN UNIVERSITIES,  
*Accra-North, Ghana*

ONE-YEAR GRANT OF \$35,000 TOWARD A WORKSHOP ON THE WORLD TRADE ORGANIZATION'S GENERAL AGREEMENT ON TRADE AND SERVICES AND ENSUING RESEARCH ON HIGHER EDUCATION IN AFRICA

ASSOCIATION OF AFRICAN UNIVERSITIES,  
*Accra-North, Ghana*

ONE-YEAR GRANT OF \$25,000 TOWARD A CONFERENCE  
OF RECTORS, VICE-CHANCELLORS AND PRESIDENTS OF  
AFRICAN UNIVERSITIES

ASSOCIATION OF COMMONWEALTH UNIVERSITIES,  
*London, United Kingdom*

FIFTEEN-MONTH GRANT OF \$50,000 TOWARD  
TWO WORKSHOPS ON WOMEN IN AFRICAN HIGHER  
EDUCATION MANAGEMENT

BOSTON UNIVERSITY, *Boston, MA*

SIX-MONTH GRANT OF \$50,000 FOR SUPPORT OF THE  
AFRICAN PRESIDENTIAL ARCHIVES AND RESEARCH  
CENTER AT BOSTON UNIVERSITY

UNIVERSITY OF CAPE TOWN, *Rondebosch,  
South Africa*

EIGHT-MONTH GRANT OF \$41,500 TOWARD AFRICAN  
PARTICIPATION IN A HIGHER EDUCATION MANAGEMENT  
TRAINING SEMINAR FOR WOMEN

UNIVERSITY OF CAPE TOWN, *Rondebosch,  
South Africa*

THREE-MONTH GRANT OF \$20,900 TOWARD  
PARTICIPATION IN A HIGHER EDUCATION MANAGEMENT  
TRAINING SEMINAR BY WOMEN FROM SELECTED  
AFRICAN UNIVERSITIES

UNIVERSITY FOR DEVELOPMENT STUDIES,  
*Tamale, Ghana*

SEVEN-MONTH GRANT OF \$25,000 FOR IMPROVING  
THE UNIVERSITY'S FINANCIAL SYSTEM AND  
FUNDRAISING

FOUNDATION FOR LIBRARY AND INFORMATION  
SERVICE DEVELOPMENT (PTY) LTD., *Pretoria,  
South Africa*

FIVE-MONTH GRANT OF \$50,000 FOR STRATEGIC  
PLANNING OF A MODEL NATIONAL LIBRARY IN  
SOUTH AFRICA

UNIVERSITY OF ILLINOIS AT URBANA-CHAMPAIGN,  
*Champaign, IL*

FOUR-MONTH GRANT OF \$42,600 TOWARD  
PROFESSIONAL TRAINING NEEDS ANALYSIS FOR  
UNIVERSITY LIBRARIES IN GHANA, NIGERIA,  
TANZANIA AND UGANDA

UNIVERSITY OF ILLINOIS AT URBANA-CHAMPAIGN,  
*Champaign, IL*

SIX-MONTH GRANT OF \$48,900 TOWARD PROFESSIONAL  
DEVELOPMENT FOR CORPORATION GRANTEES IN  
KENYA

CITY OF JOHANNESBURG LIBRARY AND  
INFORMATION SERVICES, *Johannesburg,  
South Africa*

FIVE-MONTH GRANT OF \$50,000 FOR STRATEGIC  
PLANNING OF A MODEL CITY LIBRARY IN  
JOHANNESBURG

UNIVERSITY OF KWAZULU-NATAL, *Durban,  
South Africa*

FOUR-MONTH GRANT OF \$39,800 AS ONE-TIME  
SUPPLEMENTAL FUNDING TO CONCLUDE A SCIENCE  
AND MATHEMATICS TEACHER TRAINING PROGRAM IN  
THE PROVINCE OF KWAZULU NATAL

THE LEADERSHIP FOUNDATION, *Washington, DC*

TWENTY-MONTH GRANT OF \$50,000 TOWARD SUPPORT  
OF TWO AFRICAN HIGHER EDUCATION FELLOWS



MAKERERE UNIVERSITY, *Kampala, Uganda*

SIX-MONTH GRANT OF \$25,000 TOWARD AN INTERNATIONAL CONFERENCE ON THE ROLE OF UNIVERSITIES IN ICT-ENABLED DEVELOPMENT

MASSACHUSETTS INSTITUTE OF TECHNOLOGY, *Cambridge, MA*

ELEVEN-MONTH GRANT OF \$25,000 FOR PLANNING A PROJECT ON PROVIDING ACCESS TO ONLINE LABORATORIES FOR SELECTED AFRICAN UNIVERSITIES

MASSACHUSETTS INSTITUTE OF TECHNOLOGY, *Cambridge, MA*

ONE-YEAR GRANT OF \$50,000 FOR A FEASIBILITY STUDY ON ACCESS TO ONLINE LABORATORIES FOR SELECTED AFRICAN UNIVERSITIES

UNIVERSITY OF OREGON, *Eugene, OR*

TWO-YEAR GRANT OF \$50,000 FOR ENHANCEMENT OF ELECTRONIC NETWORKS AT SELECTED AFRICAN UNIVERSITIES AND LIBRARIES BY THE NETWORK STARTUP RESOURCE CENTER

PAMOJA, INC., *Chester, VT*

ONE-YEAR GRANT OF \$24,800 TOWARD DEVELOPING A TRAINING MANUAL ON GRANTSEEKING AND PROPOSAL WRITING AND UPGRADING ELECTRONIC COMMUNICATION CAPACITY TO BETTER SERVE AFRICAN INSTITUTIONS

SOUTH AFRICAN BIBLIOGRAPHIC AND INFORMATION NETWORK, *Centurion, South Africa*

NINETEEN-MONTH GRANT OF \$33,200 TO PROVIDE TECHNICAL TRAINING TO SOUTH AFRICAN LIBRARIES

SOUTHERN AFRICAN RESEARCH & INNOVATION MANAGEMENT ASSOCIATION, *Mayville, South Africa*

ONE-YEAR GRANT OF \$24,900 FOR PARTICIPATION OF REPRESENTATIVES OF SELECTED AFRICAN UNIVERSITIES IN A CONFERENCE ON MANAGEMENT OF RESEARCH AND INNOVATION IN HIGHER EDUCATION INSTITUTIONS

TIDES CENTER, *San Francisco, CA*

TWO-YEAR GRANT OF \$50,000 FOR AFRICA GRANTMAKERS AFFINITY GROUP MEMBERSHIP DUES

UNIVERSITY OF THE WESTERN CAPE, *Bellville, South Africa*

THREE-MONTH GRANT OF \$25,000 TOWARD PARTICIPATION BY REPRESENTATIVES OF SELECTED AFRICAN UNIVERSITIES IN A CONFERENCE ON OPEN SOURCE SOFTWARE

WORLD BANK, *Washington, DC*

FOUR-MONTH GRANT OF \$24,600 FOR A REGIONAL TRAINING CONFERENCE ON IMPROVING TERTIARY EDUCATION IN SUB-SAHARAN AFRICA

# International Peace and Security

## Global Engagement

CENTER FOR STRATEGIC AND INTERNATIONAL STUDIES, INC., *Washington, DC*

PROJECT ON REFORMING U.S. AND INTERNATIONAL POST-CONFLICT RECONSTRUCTION EFFORTS.

TWO YEARS, \$301,100.

Post-conflict societies pose a great threat to global security when they lack a workable governance structure and face the possibility of a return to war in addition to daunting development obstacles. U.S. and international efforts to provide adequate tools and resources to address these challenges have been largely ad hoc, bureaucratic and slow to materialize. The Center for Strategic and International Studies' Post-Conflict Reconstruction project (PCR) undertook the first independent assessment of Iraq reconstruction efforts in 2003. PCR is now pursuing the implementation of its recommendations through extensive coordination with the U.S. government and frontline United Nations agencies, such as the United Nations Development Program and the World Food Program.

GRADUATE CENTER OF THE CITY UNIVERSITY OF NEW YORK, *New York, NY*

RESEARCH, ANALYSIS, DIALOGUE AND DISSEMINATION ON STATES AT RISK. ONE YEAR, \$190,500.

The Bunche Institute of the City University of New York's Graduate Center is creating a virtual network of academic researchers who are actively undertaking empirical (and primarily field) research in post-conflict settings on the consequences of post-conflict reconstruction and state-building interventions. The institute will supplement this network with a conceptual framework and survey of current knowledge on post-conflict state building and commissioned studies by practitioners within projects or programs deemed successful. The effort is to include a mapping of the current

state of knowledge about state-building, with a particular emphasis on insights generated by local actors. Members of the project are also convening workshops that bring together researchers and policymakers to discuss scholarly findings and provide a forum for imparting policy-relevant knowledge to practitioners.

INTERNATIONAL CRISIS GROUP, *New York, NY*

RESEARCH, ANALYSIS, DIALOGUE AND DISSEMINATION ON PREVENTING STATE COLLAPSE. TWO YEARS, \$400,000.

Fragile, highly stressed states in danger of collapse have emerged as a primary driver of violent conflict since the end of the Cold War. International intervention has taken place where state institutions have failed to meet local needs and prevent disputes from escalating. The challenge for intervening actors, in addition to improving understanding of the phenomenon of state collapse and the causal factors behind it, is to develop effective approaches for dealing with immediate problems in specific instances where state collapse has occurred or is unfolding. The International Crisis Group is undertaking a project to identify the forces that are fueling state collapse in 14 selected African and Central and South Asian countries and to build appropriate policy responses.

NEW YORK UNIVERSITY, *New York, NY*

PROJECT ON ENHANCING GOVERNMENTAL AND INTERGOVERNMENTAL CAPACITY TO SUPPORT STATE-BUILDING. TWO YEARS, \$299,600.

In the post-September 11th era, relationships between states in crisis, international criminal networks and transnational terrorist networks have become crucially apparent. Even reluctant actors have concluded that, in this time, "nation-building," or what the United Nations calls "peace-building" or "post-conflict reconstruction," is an indivisible part of global security. Nevertheless, the central task of post-conflict operations—building

an effective and legitimate state—has remained unacknowledged in the official language of such operations and absent from the operational doctrines of the key organizations involved. New York University's Center on International Cooperation is commencing a project to enhance conceptual, policy and operational capacities within key international institutions to achieve this goal.

NEW YORK UNIVERSITY, *New York, NY*

RESEARCH, ANALYSIS, DIALOGUE AND DISSEMINATION ON LEGAL ASPECTS OF STATES AT RISK. TWO YEARS, \$300,000.

The Institute for International Law and Justice at New York University Law School is undertaking a project to address the issue of a legal and normative framework for external post-conflict reconstruction efforts in states at risk—the absence of which has led to a host of problems during the post-Cold War and, particularly, post-September 11 eras. Taking advantage of the law school's strong international law expertise and close connections with key international jurists, including legal advisors from United Nations missions, the project is examining the challenges and opportunities for developing codes of conduct and accountability for international actors working in post-conflict environments. Working closely with practitioners, the project aims to develop a practical framework that will establish a basis for the development of official policy.

HENRY L. STIMSON CENTER, *Washington, DC*

PROJECT ON ENHANCING PUBLIC SECURITY AND THE RULE OF LAW IN POST-CONFLICT RECONSTRUCTION. TWO YEARS, \$350,000.

From Iraq to Haiti, there is growing recognition that state collapse anywhere can become a direct security concern everywhere. To address the lack of existing intellectual and political tools to prevent or reverse the consequences of state collapse, the Henry L Stimson Center is embarking on a project to determine the ways in which the United Nations (UN) and regional organizations can more effectively support restoration of security and the rule of law in states shattered by war. This effort builds on

the center's work on reforming UN peace operations, previously supported by the Corporation.

WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS, *New York, NY*

RESEARCH, ANALYSIS, DIALOGUE AND DISSEMINATION ON STATES AT RISK. TWO YEARS, \$300,000.

The Conflict Prevention Project of the Woodrow Wilson International Center for Scholars is focusing on a major, understudied aspect of current approaches to addressing states at risk: the need to learn from cases where state collapse was avoided rather than solely from cases in which states devolved into chaos. By pairing Western scholars with experts from countries under examination and linking research findings to workshops involving policymakers from conflict-related or planning units of the U.S. government and international agencies, the project intends to generate useful knowledge about addressing states at risk and provide a conduit in the field to inform, and be informed by, practitioners.

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## Higher Education in the Former Soviet Union

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AMERICAN COUNCIL OF LEARNED SOCIETIES, *New York, NY*

FELLOWSHIPS IN THE HUMANITIES FOR SCHOLARS IN THE FORMER SOVIET UNION. THREE YEARS, \$1,200,000.

In 1998, with support from the Corporation, the American Council of Learned Societies (ACLS) established a program to strengthen the humanities field in the former Soviet Union. Focused on Russia, Ukraine and Belarus, the program offers short-term fellowships for scholars in the humanities, provides support for their publications and fosters professional networks. Aimed at younger, mid-career scholars—who constitute the next generation of leaders in the humanities—the program is designed to enable participants to pursue research in their home countries, thereby preventing the exodus of academic talent from post-Soviet societies. ACLS is awarding 175

research and publication fellowships and 75 honoraria to scholars in the region over the next three years. The awards are to result in publications, including articles, papers and curricula materials.

INTERNATIONAL RESEARCH AND EXCHANGES BOARD, INC., *Washington, DC*

IMPROVING UNIVERSITY ADMINISTRATION IN RUSSIA AND OTHER POST-SOVIET STATES. TWO YEARS, \$704,000.

One of the challenges facing universities in Russia and other former Soviet states is the management of modern higher education institutions. Universities in the region are beginning to reform curricula and teaching methods, but lack expertise in the areas of operations management, strategic planning, fundraising, outreach and student services. In 2001, the International Research and Exchanges Board launched the University Administration Support Program to improve the administration of universities in Russia and other former Soviet states through three elements: introductory university administration training seminars; short-term training visits to the United States; and pilot administration reform projects within established universities.

UNIVERSITY OF MICHIGAN, *Ann Arbor, MI*

JOINT PROJECT WITH THE EUROPEAN UNIVERSITY IN ST. PETERSBURG TO FOSTER THE DEVELOPMENT OF THE SOCIAL SCIENCES IN RUSSIA'S REGIONAL UNIVERSITIES. THIRTY-ONE MONTHS, \$450,000.

The social sciences as studied and practiced in the West were not a feature of Soviet universities. While Corporation-created Centers for Advanced Study and Education (CASEs) in Russia are aimed at fostering a new generation of social scientists and improving the capacity of major regional universities to nurture and sustain them, research in and teaching of the social sciences is still being strengthened in the region. In 2001, the European University in St. Petersburg (EUSP) teamed up with the University of Michigan to create a program focused on the placement of EUSP graduates in teaching positions at Russian regional universities. To support the strengthening of research and

teaching skills, the program holds extensive trainings in Russia and the United States and fosters international research projects between scholars from both academic communities.

NEW SCHOOL UNIVERSITY, *New York, NY*

JOURNAL DONATION PROJECT. TWO YEARS, \$300,000.

Universities and other institutions of higher learning in the former Soviet Union have been among the casualties of the region's economic hardships. Severe cuts in funding from governmental sources left these institutions in a state of penury and impaired their ability to provide essential services to their faculty and their students. Academic libraries have found themselves in an especially difficult position, with little or no allocation for the acquisition of books or periodicals. The Journal Donation Project, based at New School University, provides deeply discounted multiple-year subscriptions to contemporary Western periodicals in the social sciences to academic libraries in Russia and elsewhere in the former Soviet Union. The project works with over 590 libraries worldwide.

STANFORD UNIVERSITY, *Stanford, CA*

FINAL GRANT TOWARD BRINGING DISTANCE-LEARNING COURSES TO RUSSIAN UNIVERSITIES. TWENTY-THREE MONTHS, \$360,000.

The advent of the Internet and other information technologies has impacted higher education worldwide. In particular, distance-learning programs have begun to blur the boundaries between universities and alter relationships between institutions of higher education and students by delivering courses across many disciplines that entail a range of methodologies. Stanford University uses the Internet and other information technologies to make available the university's teaching and research experience to scholars and students across the globe, including Russia. With this grant, Stanford is offering distance-learning courses on international security in ten Russian universities.

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## Nuclear and Biological Weapons

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UNIVERSITY OF BRADFORD, *Bradford,*  
*United Kingdom*

RESEARCH AND WRITING ON THE IMPACT OF  
SCIENTIFIC AND TECHNOLOGICAL DEVELOPMENTS ON  
THE CONTROL OF BIOLOGICAL WEAPONS. TWO YEARS,  
\$269,000.

The development of effective long-term control mechanisms for biological weapons (BW) hinges on two things: an understanding of how scientific and biotechnological developments make BW management more diffuse, and national and international cooperation between the bioscience and security communities. To foster a better understanding of the implications of advances in the life sciences on BW proliferation, the University of Bradford's Department of Peace Studies is undertaking a project to research and evaluate the ways in which critical scientific developments now outpace existing control regimes. Members of the project will recommend to the current treaty process in Geneva ways in which international regulatory frameworks must recognize these advances and the attendant risks. This grant supports research and dissemination efforts, including improvements to the Genomics Gateway, the university's web site that links biological arms control issues, antiterrorism issues and biological threats and responses.

BROOKINGS INSTITUTION, *Washington, DC*

FOREIGN POLICY STUDIES PROGRAM. TWO YEARS,  
\$800,000.

In today's international environment, policymakers and the public in the United States and abroad are faced with a number of urgent challenges. Broadly defined, the challenges fit into three main categories: the consequences of new threats arising from states and nonstate actors; the implications of globalization and interdependence; and the impact of new technologies, which offer great hope but also great dangers. This landscape shapes the agenda of the Brookings Institution's Foreign Policy Studies program (FPS), which is dedicated to the advancement

of policy-relevant research and outreach. FPS uses an array of strategies, including research, public outreach, international working groups, publications and policy briefings to bring its work to the attention of the policy community and the public.

UNIVERSITY OF CALIFORNIA, SAN DIEGO,  
*La Jolla, CA*

CREATION AND IMPLEMENTATION OF A PROGRAM ON  
BIOLOGICAL WEAPONS THREATS AND POLICY.  
TWO YEARS, \$300,000.

The Corporation's extensive involvement in the area of weapons of mass destruction has highlighted collaborative efforts between security policy experts and members of the scientific community. The need for this collaboration is acute in light of the proliferation implications of recent biotechnological breakthroughs. The University of California's Institute on Global Conflict and Cooperation (IGCC) is creating a program on biological threats and public policy for doctoral students and mid-career professionals from various fields. The goal of the program is to recruit and train a cohort of scholars who can contribute to relevant biosecurity policy solutions within a broader context of consideration. In the long-term, IGCC hopes to leverage additional support to replicate the program throughout the university system.

UNIVERSITY OF CALIFORNIA, SAN DIEGO,  
*La Jolla, CA*

MULTILATERAL DIALOGUE ON NORTH KOREA.  
TWO YEARS, \$325,000.

The recent initiation of Six Party Talks involving China, Russia, North and South Korea, Japan and the United States represents a promising opportunity for addressing the security challenges of the Korean peninsula and building the foundations for a permanent peace. To amplify and clarify official negotiations, the University of California's system-wide Institute on Global Conflict and Cooperation (IGCC) is organizing a series of unofficial, multilateral meetings to occur in-between the official Six Party sessions. The IGCC's Northeast Asia Cooperation Dialogue, building on its two-decade

long experience in Track II diplomacy, will include policymakers and experts from the region. Following almost a ten-year absence from such proceedings, the Democratic People's Republic of North Korea has agreed to participate in these unofficial sessions.

CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE, *Washington, DC*

ONE-TIME FUNDING TOWARD AN INITIATIVE TO CREATE AND PROMOTE AN INTERNATIONAL STRATEGY TO PREVENT THE SPREAD OF NUCLEAR WEAPONS.

ONE YEAR, \$250,000.

Although nuclear weapons continue to pose a threat to international security, the system in place to prevent their spread—represented by the Nuclear Nonproliferation Treaty and other interlocking international treaties—is currently vulnerable and limited in its usefulness. North Korea has withdrawn to pursue a nuclear weapons program; Israel, India and Pakistan remain non-members; and the other five nuclear weapons states have failed to fulfill treaty obligations by eliminating their own arsenals. The Non-Proliferation Project at the Carnegie Endowment for International Peace has begun work to frame a new U.S. strategy for nonproliferation policy. Through research and interviews, small-group meetings and workshops, the project is working to produce a document that will assess the current nuclear threat and suggest approaches to redress it.

CENTER FOR ARMS CONTROL AND NON-PROLIFERATION, *Washington, DC*

ESTABLISHMENT OF THE AMERICAN SCIENTISTS WORKING GROUP ON BIOLOGICAL AND CHEMICAL WEAPONS. TWO YEARS, \$312,000.

Formed in 1980 and based in Washington, D.C., the Center for Arms Control and Non-Proliferation is an independent, nonprofit research and education organization that studies national security issues with a specific focus on threats to U.S. security from weapons of mass destruction. The center's goal is to increase awareness among the public, the media and policymakers about these threats and offer recommendations to address them. To focus efforts on the longterm threat of biological weapons, the center

is establishing the American Scientists Working Group on Biological and Chemical Weapons. The group will compile information on the development of non-lethal biological weapons, publish a report in the *Bioweapons Monitor*, conduct studies and workshops in collaboration with the International Committee of the Red Cross and convene regular meetings with representatives of the U.S. pharmaceutical and biotechnology industries to alert them to the possibilities for misuse of their technologies and assist them to adopt oversight measures and institute ethical education requirements.

CENTER FOR POLICY STUDIES IN RUSSIA, *Monterey, CA*

FINAL GRANT TOWARD INSTITUTIONAL SUPPORT. TWO YEARS, \$285,900.

The number of local organizations working to encourage an antiproliferation culture in Moscow and the Russian regions has flourished. Until recently an emerging community, the members of these organizations are now focused not on identity but on a sense of mission, seeking to determine what they can do to contribute to the international nonproliferation process that hopes to stem the spread of weapons of mass destruction (WMD). At the forefront of the Russian nonproliferation movement is the Center for Policy Studies in Russia (PIR), an independent think tank that analyzes and reports on current developments related to WMD. Under the direction of Vladimir Orlov and with seminal support from the Corporation, PIR has become an internationally recognized institution that provides a much-needed perspective on pressing security challenges not only in Russia but throughout the former Soviet Union. This grant supports PIR's education and training activities, publication of its flagship journal, *Yaderny Kontrol*, and the launch of a new educational program for young Russian nonproliferation experts.

CENTER FOR STRATEGIC AND INTERNATIONAL STUDIES, INC., *Washington, DC*

PROJECT ON COOPERATIVE THREAT REDUCTION IN NORTH KOREA. ONE YEAR, \$180,000.

The Cooperative Threat Reduction program (CTR) was designed to help the countries of the former Soviet Union eradicate nuclear, chemical and biological weapons and the associated infrastructure. More recently, the specter of terrorists armed with weapons of mass destruction has facilitated CTR-like efforts in other regions. A small team of experts, led by the Center for Strategic and International Studies and drawing on the expertise of CTR's work, is exploring possibilities for a similar approach to the North Korean weapons complex. The team, which comprises specialists with policy experience and practice in Russian and North Korean security issues, is assessing the prospects for the application of CTR-like activities in the Korean crisis, establishing critical multilateral partnerships and producing and disseminating a model threat-reduction program for North Korea.

COUNCIL ON FOREIGN RELATIONS, INC.,  
*New York, NY*

RESEARCH AND OUTREACH ON NEW SECURITY THREATS. TWO YEARS, \$500,000.

Founded in 1921, the Council on Foreign Relations is a nonpartisan membership organization, research center and publisher that aims to enhance America's understanding of the world and generate new ideas about U.S. foreign policy. The council convenes regular meetings that include heads of state and other luminaries, conducts a fellowship program to nurture new generations of thinkers and publishes *Foreign Affairs*, a preeminent journal on global issues. In the wake of the Cold War and especially September 11th, the United States and the international community are faced with building a new security architecture that can respond to transnational threats posed by states at risk, the rise of extreme ideologies and the potential spread of weapons of mass destruction. The council's recently revamped New Security Threats program is undertaking research, outreach to policymakers

and dissemination to the public on these and other security issues.

FEDERATION OF AMERICAN SCIENTISTS FUND,  
*Washington, DC*

PROJECT TO STRENGTHEN THE LINK BETWEEN THE BIOLOGICAL RESEARCH AND SECURITY POLICY COMMUNITIES. TWO YEARS, \$500,000.

The military and commercial capabilities of biological weapons material requires that successful measures against proliferation be framed in both security and scientific terms. However, few governmental decisionmakers have a clear grasp of both biological science and national security; and, unlike the nuclear science community, bioscience researchers have had little experience or cause to be involved with policymakers. The Federation of American Scientists is undertaking a multiyear effort to facilitate engagement between the two groups. The project aims to build an infrastructure, beginning with a cadre of individuals who understand both the new science and its national security implications. The long-term goal is to establish and manage centers of research and analysis on biosecurity.

HARVARD UNIVERSITY, *Cambridge, MA*  
STANFORD UNIVERSITY, *Palo Alto, CA*

RESEARCH AND WRITING ON INTERNATIONAL SECURITY. TWO YEARS, \$550,000 (\$275,000 PER INSTITUTION).

Preventing the spread of weapons of mass destruction (WMD) is a key challenge for the United States and the international community at large. Yet, the current U.S. foreign and security policy priorities, as exemplified by the war in Afghanistan, the creation of a Department of Homeland Security and the war in Iraq, mainly address non-WMD threats. In the wake of September 11th, the war on terrorism has been linked to the war on proliferation. But the two challenges are not identical. Stemming proliferation requires new thinking on strategies to dissuade and deter states and nonstate actors from obtaining WMD. This is the focus of the Preventive Defense Project, administered jointly by Harvard and Stanford universities.

INSTITUTE FOR FOREIGN POLICY ANALYSIS, INC.,  
*Cambridge, MA*

RESEARCH AND DIALOGUE ON BUILDING CAPACITY  
FOR A WEAPONS OF MASS DESTRUCTION-FREE KOREAN  
PENINSULA. THREE YEARS, \$475,000.

The nonproliferation challenge of the Korean Peninsula represents the focal point of the future of Asian security. The region could enter a second nuclear age, or institutionalized dialogues could bring about an era of confidence-building, leading to security. This grant enables the Institute for Foreign Policy Analysis to build on four previous years of research and workshop discussions to develop the tools and processes needed in the long-term for implementing an agreement to end the current crisis.

INTERNATIONAL INSTITUTE FOR STRATEGIC  
STUDIES, *London, United Kingdom*

DEVELOPMENT OF POLICY OPTIONS ADDRESSING  
THE NEXUS OF WEAPONS OF MASS DESTRUCTION AND  
FAILED STATES. TWO YEARS, \$425,000.

To focus on the nexus between weapons of mass destruction and failed states—which have often been examined as separate threats—and promote strengthened transatlantic cooperation in addressing this connection, the International Institute for Strategic Studies is convening a core group of current and former policy planning directors along with experts from the United States and Europe to generate policy options. Members of the project will produce a report focusing on the multiple dimensions of the threat and prominent cochairs of the steering group will brief political leaders, policymakers, legislators and media on both sides of the Atlantic. Briefings will begin in Washington, D.C., in early 2005 to coincide with post-presidential election policy formation.

NATIONAL ACADEMY OF SCIENCES,  
*Washington, DC*

FINAL GRANT TOWARD TRILATERAL AND BILATERAL  
MEETINGS OF THE COMMITTEE ON INTERNATIONAL  
SECURITY AND ARMS CONTROL WITH ITS RUSSIAN  
AND CHINESE COUNTERPARTS. TWO YEARS, \$200,000.

In 1980, the National Academy of Sciences created the Committee on International Security and Arms Control (CISAC) to strengthen communication between American and Soviet scientists. Composed of scientists, engineers, academics and policy analysts, CISAC now convenes regular dialogues on security issues between counterpart groups in the United States and other countries, including Russia and China. Over the next two years, CISAC is hosting major meetings—stressing the importance of multilateral approaches—to address nuclear weapons and nuclear proliferation, biological weapons and the war on terrorism. In addition, at the urging of the Corporation, CISAC is continuing work to encourage a trilateral meeting of U.S., Chinese and Russian participants.

NATIONAL COMMITTEE ON AMERICAN FOREIGN  
POLICY, *New York, NY*

MULTILATERAL DIALOGUE ON NORTH KOREA.  
TWO YEARS, \$200,000.

The nuclear standoff between the Democratic People's Republic of Korea and the United States over North Korea's nuclear weapons program is one of the gravest current challenges to U.S. and global security. Negative developments on the Korean peninsula have recently been tempered by a new series of official multilateral talks designed to address the security challenges of the region. The nonpartisan National Committee on American Foreign Policy is complementing that official effort by continuing its promising, unofficial, Track II dialogue that aims to explore and build support for cooperative, multilateral means of ensuring a nuclear-free Korean peninsula. The resulting forum is to involve high-ranking past and current officials from the United States, Japan, China, Russia and the two Koreas, as well as regional experts and scholars.

RUSSIAN AMERICAN NUCLEAR SECURITY  
ADVISORY COUNCIL, *Washington, DC*

FINAL GRANT TOWARD A PROJECT TO SUPPORT  
COOPERATIVE THREAT REDUCTION AMONG THE  
UNITED STATES, RUSSIA AND OTHER FORMER SOVIET  
STATES. EIGHTEEN MONTHS, \$180,000.



Since the early 1990s, the United States and Russia have been working to downsize and redirect the Russian nuclear weapons complex. The Russian American Nuclear Security Advisory Council (RANSAC) helps to develop and coordinate new initiatives that tap the scientific talent resident in the closed nuclear cities of the former Soviet Union and undertakes outreach activities—aimed at policymakers in the United States and Russia, journalists, national laboratories and foreign governments—to draw international attention to the issue and minimize the possibility of the use of weapons of mass destruction by non-state actors. With this grant, RANSAC is analyzing key bilateral and multilateral cooperative threat reduction programs, producing papers and developing alternative strategies for the redirection of scientists' and workers' efforts.

STANFORD UNIVERSITY, *Stanford, CA*

RESEARCH AND TRAINING IN INTERNATIONAL SECURITY. TWO YEARS, \$1,450,000.

The Center for International Security and Cooperation at Stanford University is one of the nation's leading centers searching for long-term solutions to security problems, with its multidisciplinary research, training, dissemination and outreach programs contributing to national and international policy debates. The hallmark of the center, which conducts research, hosts fellows and trains specialists, is the collaboration of scientists and engineers with social scientists, government officials, military officers and business leaders. The center's agenda focuses on such issues as nuclear proliferation, bioterrorism, international institutions, regional security and homeland security.

HENRY L. STIMSON CENTER, *Washington, DC*

UNOFFICIAL, TRILATERAL DIALOGUE ON SOUTH ASIAN SECURITY ISSUES. TWO YEARS, \$325,000.

Decades-long tensions between India and Pakistan have taken a new, potentially catastrophic turn in recent years under the shadow of a nuclear arms race. Similar to the early stages of nuclear rivalry between the United States and the Soviet Union, the two countries have poor lines of communication,

little or no trust in each other, vulnerable nuclear forces and command and control arrangements as well as limited intelligence capabilities for crisis management. The divided, predominantly Muslim enclave of Kashmir also remains a focal point for antagonism. To help increase prospects for peace in the region, the Henry L Stimson Center is continuing its unofficial diplomatic efforts to assist decisionmakers in India and Pakistan in designing nuclear risk-reduction and escalation control measures considered useful and credible by both sides.

UNIVERSITY OF SUSSEX, *Brighton, United Kingdom*

HARVARD SUSSEX PROGRAM TO DEVELOP A NEW INTERNATIONAL TREATY THAT WOULD CRIMINALIZE THE DEVELOPMENT, PRODUCTION OR USE OF CHEMICAL AND BIOLOGICAL WEAPONS. TWO YEARS, \$200,000.

The development of national criminal legislation against prohibited biological weapons activities is gaining momentum in the approach to the 2006 Biological Weapons Treaty Review Conference. Although this trend indicates an improvement in the response to offenders, an international legal framework would offer a stronger deterrent. International criminal law against biological weapons would strengthen the norm against using biological agents for hostile purposes, dissuade both official and unofficial offenders and enhance global cooperation in suppressing prohibited activities. The Harvard Sussex Program, a collaboration of Harvard University and the University of Sussex, is working on a project to increase the contribution of scholarly research to the formation of international chemical and biological weapons policies.

US PUGWASH, *Washington, DC*

MULTILATERAL DIALOGUE ON SOUTH ASIAN SECURITY ISSUES. TWO YEARS, \$335,800.

Building on its decades-long, Nobel-prize winning work during the Cold War, the Pugwash Conference on Science and World Affairs (Pugwash) engaged senior figures in India and Pakistan in workshops and dialogue on security challenges in South Asia. In the process, it also strengthened existing national Pugwash groups in each country. Through a series

of policy workshops and individual meetings with senior Indian and Pakistani political and military leaders, scientists and policy analysts, Pugwash is continuing to bring a wide range of international perspectives and analyses to bear on key regional security issues, focused primarily on the nuclear threat. The increased prospect for renewed peace talks between India and Pakistan represents a window of opportunity for the continuation of this process.

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## Technological and Scientific Advances

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CENTER FOR DEFENSE INFORMATION, INC.,  
*Washington, DC*

FINAL GRANT FOR A PROJECT ON COOPERATIVE SECURITY IN SPACE. TWO YEARS, \$300,000.

The Center for Defense Information is conducting a project designed to highlight the strategic, political, technical and economic questions surrounding the potential weaponization of space through analysis, news and data for policymakers, media and others interested in this critical international security issue. Members of the project are developing specific approaches to current international activities in space, using debris mitigation as a cornerstone for cooperation. The goal is to frame a set of integrated policies that could help avert a space tragedy, including but not limited to policies that address attack weapons in space, explosions in space and nuclear reactors in orbit, and ensure that the international community can continue to benefit from space.

NATIONAL ACADEMY OF SCIENCES,  
*Washington, DC*

PROJECT ON FUTURE BIOSECURITY THREATS AND POLICIES. TWO YEARS, \$300,000.

Critical to ensuring the benefits of scientific advancement are understanding how scientific advances could threaten peace and security and devising ways to mitigate these potential threats. To assess the magnitude of biosecurity threats and begin to formulate ways to handle them from a policy perspective,

the National Academy of Sciences (NAS) is developing a comprehensive framework for identifying a range of biosecurity issues and charting a roadmap for addressing these challenges in their earliest stages. Members of the project are encouraging the NAS' units to work together on a full spectrum of biosecurity threats.

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## U.S.-Russian Cooperation

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ASPEN INSTITUTE, INC., *Washington, DC*

INTERNATIONAL ACTIVITIES OF THE CONGRESSIONAL PROGRAM. ONE YEAR, \$554,000.

The Aspen Institute's Congressional Program aims to enhance leadership capacity on selected public policy issues in the United States Congress. To improve congressional understanding of, and engagement with, Russia, the program brings together U.S. legislators from the House and Senate, scholars and policy specialists in an annual conference and regular breakfast sessions on Capitol Hill. The conferences and the breakfast meetings focus on issues germane to Russia-West relations, including terrorism and nonproliferation of weapons of mass destruction, the role of international institutions, nontraditional security challenges and regional developments. Each conference results in a detailed report, which is published along with the papers presented at the conference and distributed to each member of Congress, key members of the executive branch and over 1,000 scholars and institutions. These materials are also made available on the institute's web site.

BROWN UNIVERSITY, *Providence, RI*

FINAL GRANT TOWARD PROMOTING DISCUSSIONS BETWEEN AMERICANS, RUSSIANS AND EUROPEANS ON SECURITY ISSUES. TWO YEARS, \$299,200.

Building on earlier efforts that focused on issues of concern to the United States, Germany and Russia, the Watson Institute for International Studies at Brown University is bringing together representatives of academia, business and finance from the United States, Russia and several European nations in a

series of policy dialogues. The project comprises three interdependent sets of activities: task forces of five to eight people; annual focused meetings of 20 experts and analysts drawn from the regions; and a set of web-based materials pertaining to the project. Topics to be discussed include emerging transatlantic relations, the limits and transformation of military power, cooperation on antiterrorism, new threats from weapons of mass destruction and the consequences of the expansion of the European Union. The project will result in a series of papers.

CENTER FOR DEFENSE INFORMATION INC.,  
*Washington, DC*

ELECTRONIC NEWS SERVICES ON CONTEMPORARY  
RUSSIA. TWO YEARS, \$312,000.

As Russia builds democracy and a market economy, it is important to monitor, assess and provide perspective on the country's diverse developments and national interests. The Center for Defense Information (CDI) offers Internet-based publications on Russia and U.S.-Russian relations, aimed at experts and the general public in the United States, Russia and elsewhere. The publications include a daily electronic newsletter on Russia, Johnson's Russia List (JRL); a weekly compendium of articles and analyses, the CDI Russia Weekly; a supplement to JRL, which contains summaries of on-going research on Russia and the post-Soviet states; and a Russian language news and analysis service, Washington ProFile Project, which covers American politics and society.

FINANCIAL SERVICES VOLUNTEER CORPS, INC.,  
*New York, NY*

PROJECT ON RELATIONS BETWEEN THE UNITED  
STATES, RUSSIA AND CHINA. TWO YEARS, \$300,000.

In the last two years there have been major changes in the domestic policies of the United States, Russia and China. While the United States has become the dominant global power, Russia and China have increased their international presence. The potential of each country rests on its ability to handle the competing pressures between globalization and national security. Under the auspices of the

Financial Services Volunteer Corps, a group of specialists from the military, economic and financial sectors in the United States, Russia and China is exploring the interaction between these sectors and the implications of these interactions for relations between the three countries. The project, which builds on earlier work that examined the interaction between these sectors in the United States and Russia, is to result in publications.

HARVARD UNIVERSITY, *Cambridge, MA*

EXECUTIVE PROGRAMS FOR RUSSIAN MILITARY  
OFFICERS AND POLICYMAKERS FROM RUSSIA AND THE  
BLACK SEA REGION. TWO YEARS, \$1,030,000.

While Russia and other post-Soviet states have made major strides in improving relations with the Western world and the United States, the Cold War mentality and attendant attitudes remain prevalent on both sides of the Atlantic. To foster greater interaction between decisionmakers in the region and their counterparts in the United States—as a means of promoting the formulation of new perceptions—Harvard University's John F. Kennedy School of Government established a series of executive programs for Russian military officers and policymakers from Russia and the Black Sea region. The programs, which encourage strategic foresight and the recognition of common security and economic interests, target Russian and American military officers, legislators and national security experts.

NATIONAL ACADEMY OF SCIENCES,  
*Washington, DC*

PROJECT ON U.S.-RUSSIAN CHALLENGES IN  
COUNTERING URBAN TERRORISM. FIFTEEN MONTHS,  
\$220,000.

In 2000, the Corporation made a grant to the National Academy of Sciences for a workshop, cosponsored with the Russian Academy of Sciences, to explore cooperative efforts between the academies in scientific aspects of counterterrorism. The project has yielded reports on infrastructure vulnerabilities, countering radiological terrorism and redirection of biological expertise in the former Soviet Union from military to peaceful civilian pursuits. Over the

period of the new grant, the research will concentrate primarily on a range of strategies to prevent and respond to urban terrorism, which has afflicted both countries and which has the potential to result in more massive casualties or economic damage in the future. Reports will be published in both English and Russian and widely distributed to independent scientific and policy experts.

NATIONAL SECURITY ARCHIVE FUND, INC.,  
*Washington, DC*

SUPPORT FOR THE RUSSIA AND FORMER SOVIET UNION INITIATIVE. TWO YEARS, \$575,000.

The National Security Archive at George Washington University is the world's largest nongovernmental library of declassified documents and one of the leading research and publications organizations in the United States. The archive's Russia and Former Soviet Union Initiative strives to open archives throughout the post-Soviet region, build capacities for teaching and research on contemporary history and international affairs and create research-based networks of scholars from Russia and other countries. Continuing the initiative, the archive is holding two regional Russian university-based summer schools on contemporary history and academic conferences structured around declassified materials. The work is to result in new curricula on contemporary history for universities in Russia and elsewhere in the former Soviet Union.

THE RICHARD NIXON LIBRARY & BIRTHPLACE FOUNDATION, *Yorba Linda, CA*

U.S.-RUSSIAN DIALOGUE ON INTERNATIONAL SECURITY. TWO YEARS, \$300,000.

The Nixon Center, initially established as a division of the Richard Nixon Library & Birthplace Foundation to analyze and address the challenges and opportunities of the post-Cold War era, conducts research on contemporary foreign policy issues and organizes an array of conferences, briefings, seminars and other events designed to advance U.S. foreign policy debates on crucial political, economic and security matters. The center's U.S.-Russian dialogue on international security convenes prominent

academics, business leaders and former policymakers on both sides of pressing bilateral issues for discussion. In the aftermath of the strain produced by opposing U.S. and Russian positions on Iraq and the criticism in the United States of President Putin's domestic policies, overcoming differences and building partnerships remain the unmet objectives of the U.S.-Russian relationship.

ROYAL INSTITUTE OF INTERNATIONAL AFFAIRS,  
*London, United Kingdom*

COOPERATION BETWEEN RUSSIA AND THE WEST ON INTERNATIONAL PEACE AND SECURITY ISSUES.  
TWO YEARS, \$199,900.

Since September 11, 2001, unprecedented opportunities have arisen for Russia and the West to forge a strategic partnership. One region that offers particular promise for cooperation is Central Asia, including former Soviet Central Asia and Afghanistan. Central Asia is crucial to efforts to counter terrorism, Islamic extremism, proliferation of weapons of mass destruction and trafficking in drugs and arms. For now, Russia and the West share a presence in Central Asia. However, renewed competition between Russia and the West in this region could lead to instability and the strengthening of transnational threats. The Royal Institute of International Affairs is exploring prospects for collaboration between Russia and the West in Central Asia.

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## Discretionary Grants

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BRITISH AMERICAN SECURITY INFORMATION COUNCIL, *Washington, DC*

EIGHT-MONTH GRANT OF \$40,000 FOR A TRANSATLANTIC BIOLOGICAL WEAPONS EDUCATION PROJECT

BROWN UNIVERSITY, *Providence, RI*

NINETEEN-MONTH GRANT OF \$49,500 FOR DEVELOPMENT AND DISSEMINATION OF A HIGH SCHOOL CURRICULUM THAT ENCOURAGES CLASSROOM DISCUSSION ABOUT INTERNATIONAL ISSUES RELATED TO AMERICA'S ROLE IN THE WORLD

BROWN UNIVERSITY, *Providence, RI*

ONE-YEAR GRANT OF \$24,500 FOR MEETINGS,  
RESEARCH AND ANALYSIS ON INFORMATION  
TECHNOLOGY AND SECURITY

CANADIAN POLAR COMMISSION, *Ottawa, Canada*

TEN-MONTH GRANT OF \$36,000 AS A FINAL GRANT  
TOWARD AN INTERNATIONAL CONFERENCE ON ARCTIC  
AND CIRCUMPOLAR ISSUES

CARNEGIE ENDOWMENT FOR INTERNATIONAL  
PEACE, *Washington, DC*

NINE-MONTH GRANT OF \$25,000 FOR A CONFERENCE  
AND OUTREACH ACTIVITIES ON POST-WAR IRAQ

CARNEGIE ENDOWMENT FOR INTERNATIONAL  
PEACE, *Washington, DC*

SEVEN-MONTH GRANT OF \$35,000 TOWARD THE  
SECOND MOSCOW INTERNATIONAL CONFERENCE ON  
THE FUTURE OF THE NONPROLIFERATION REGIME

CENTER FOR PUBLIC INTEGRITY, *Washington, DC*

ONE-YEAR GRANT OF \$50,000 TOWARD A STUDY OF  
THE POLITICS OF NATIONAL SECURITY

CENTER FOR STRATEGIC AND INTERNATIONAL  
STUDIES, INC., *Washington, DC*

SEVEN-MONTH GRANT OF \$25,000 FOR A PROJECT ON  
COOPERATIVE THREAT REDUCTION IN NORTH KOREA

UNIVERSITY OF COLORADO, *Boulder, CO*

THREE-MONTH GRANT OF \$6,900 TOWARD A MEETING  
ON STATE-BUILDING

COLUMBIA UNIVERSITY, *New York, NY*

TEN-MONTH GRANT OF \$50,000 TOWARD THE GULF  
2000 PROJECT

DEPAUL UNIVERSITY, *Chicago, IL*

ONE-YEAR GRANT OF \$50,000 FOR A PROJECT TO  
PROMOTE CRIMINALIZING BIOLOGICAL TERRORISM AND  
BIOLOGICAL WEAPONS PROLIFERATION

GEORGETOWN UNIVERSITY, *Washington, DC*

ONE-YEAR GRANT OF \$25,000 FOR RESEARCH,  
MEETINGS AND PUBLICATIONS ON U.S. POWER AND  
MULTILATERAL IMPLICATIONS

GEORGETOWN UNIVERSITY, *Washington, DC*

ONE-YEAR GRANT OF \$50,000 TOWARD SYMPOSIA IN  
INTERNATIONAL AFFAIRS

GEORGIA TECH FOUNDATION INC., *Atlanta, GA*

SIX-MONTH GRANT OF \$25,000 TOWARD THE 2004  
SAM NUNN POLICY FORUM ON BIOTERRORISM  
PREPAREDNESS

HARVARD UNIVERSITY, *Cambridge, MA*

THIRTEEN-MONTH GRANT OF \$50,000 TOWARD  
A STUDY ON THE POTENTIAL EXPLOITATION OF  
BIOTECHNOLOGY

INDIANA UNIVERSITY, *Bloomington, IN*

TWENTY-EIGHT-MONTH GRANT OF \$50,000 FOR A  
PROJECT ON RUSSIAN ELECTIONS

INTERNEWS NETWORK, *Arcata, CA*

SEVEN-MONTH GRANT OF \$25,000 ONE-TIME FUNDING  
TOWARD A PROJECT ON BUILDING NETWORKS IN THE  
SOUTH CAUCASUS

UNIVERSITY OF MARYLAND, COLLEGE PARK,  
*College Park, MD*

ONE-YEAR GRANT OF \$25,000 FOR A WORKSHOP  
ON NONSTATE ACTORS, TERRORISM AND THE  
PROLIFERATION OF WEAPONS OF MASS DESTRUCTION

MONTEREY INSTITUTE OF INTERNATIONAL STUDIES, *Monterey, CA*

FIVE-MONTH GRANT OF \$25,000 FOR PUBLICATION OF A JOURNAL ON NONPROLIFERATION

NATIONAL ACADEMY OF SCIENCES, *Washington, DC*

FOUR-MONTH GRANT OF \$25,000 FOR A STUDY ON THE SCOPE OF BIOSECURITY CHALLENGES

NATIONAL ACADEMY OF SCIENCES, *Washington, DC*

SIX-MONTH GRANT OF \$25,000 FOR MEETINGS TO DEVELOP A BIOSECURITY ISSUES INITIATIVE

NATIONAL COMMITTEE ON AMERICAN FOREIGN POLICY, *New York, NY*

ONE-YEAR GRANT OF \$25,000 FOR A MULTILATERAL, UNOFFICIAL DIALOGUE ON NORTH KOREA

NEW SCHOOL UNIVERSITY, *New York, NY*

TWO-YEAR GRANT OF \$25,000; FINAL GRANT FOR A SEMINAR SERIES ON THE IMPACT OF CULTURAL FACTORS ON RUSSIA'S TRANSITION

NEW YORK UNIVERSITY, *New York, NY*

ONE-YEAR GRANT OF \$25,000 TOWARD A PROJECT ON MULTILATERAL SECURITY ARRANGEMENTS

NORTHWESTERN UNIVERSITY, *Evanston, IL*

ONE-YEAR GRANT OF \$25,000 FOR RESEARCH AND MEETINGS ON STATES AT RISK IN THE FORMER SOVIET UNION

PLOUGHSHARES FUND, *San Francisco, CA*

TWO-YEAR GRANT OF \$50,000 TOWARD THE PEACE AND SECURITY FUNDERS GROUP

SCRIPPS COLLEGE, *Claremont, CA*

TWO-YEAR GRANT OF \$20,000 FOR A CONFERENCE ON EUROPEAN UNION-UNITED STATES RELATIONS

STANFORD UNIVERSITY, *Stanford, CA*

FIFTEEN-MONTH GRANT OF \$50,000 TOWARD INCREASING THE FUNDRAISING CAPACITY OF THE CENTER FOR INTERNATIONAL SECURITY AND COOPERATION

STONY BROOK FOUNDATION, INC., *Stony Brook, NY*

TWENTY-ONE-MONTH GRANT OF \$50,000 TOWARD THE PLANNING PHASE OF A PILOT PROJECT TO DEVELOP A TRAINING PROGRAM FOR COMBINED COMPETENCE IN BIOSCIENCE AND SECURITY POLICY

TEMPLE UNIVERSITY, *Philadelphia, PA*

ONE-YEAR GRANT OF \$15,000 TOWARD A RESEARCH PROJECT ON POWER AND CULTURE DURING THE COLD WAR

TUFTS UNIVERSITY, *Medford, MA*

FOUR-MONTH GRANT OF \$25,000 TOWARD A CONFERENCE ON THE REASSESSING OF THE BUSH ADMINISTRATION'S PREEMPTIVE DOCTRINE

VIETNAM VETERANS OF AMERICA FOUNDATION, *Washington, DC*

ONE-YEAR GRANT OF \$25,000 TOWARD EDUCATING CONGRESS ABOUT THE CONTINUED THREAT OF NUCLEAR, BIOLOGICAL AND CHEMICAL WEAPONS

WILTON PARK, *West Sussex, United Kingdom*

ONE-YEAR GRANT OF \$25,000 TOWARD A CONFERENCE ON THE ROLE OF THE UNITED NATIONS SECURITY COUNCIL

WILTON PARK, *West Sussex, United Kingdom*

FOUR-MONTH GRANT OF \$25,000 TOWARD AN  
INTERNATIONAL CONFERENCE ON THE PROLIFERATION  
OF BIOLOGICAL WEAPONS

## Campaign Finance Reform

CAMPAIGN FINANCE INSTITUTE, *Washington, DC*

ONE-TIME FUNDING TOWARD ITS PRESIDENTIAL PUBLIC FINANCING PROJECT. TWO YEARS, \$200,000.

Since Watergate-era reforms, partial public campaign financing of the presidential election system has provided resources—and opportunities—to candidates other than the fundraising frontrunners. In return, the candidates agree to limit their spending. Given that President Bush and major Democratic candidates have decided to opt out of the public financing system in 2004, the presidential public financing system may soon be obsolete. The Campaign Finance Institute (CFI), a nonpartisan research and policy center, has created a task force to consider strategies for reforming the system. Corporation support will be used by CFI to complete its research and develop and implement an outreach and advocacy program aimed at raising the visibility of the task forces' work. These efforts will culminate in a post-2004 election conference to test and reconsider some of the task force's recommendations.

CENTER FOR GOVERNMENTAL STUDIES, INC.,  
*Los Angeles, CA*

FINAL GRANT TOWARD ITS CAMPAIGN FINANCE AND MEDIA REFORM ACTIVITIES. TWO YEARS, \$400,000.

The Center for Governmental Studies provides technical assistance to state and local policymakers and members of public interest groups on implementing campaign finance laws. The center is continuing to examine the strengths and weaknesses of campaign financing laws in states and local governments where they have been put into practice, develop recommendations for reform and draft model uniform electronic campaign finance disclosure laws to allow individuals to conduct cross-state campaign finance comparisons. Given that the largest proportion of a candidate's expenses in running for office is commu-

nicating with voters, the center, under the direction of its co-founder, Tracy Westen, continues to develop innovative ways of using new information technologies to provide voters with substantive, nonpartisan information on candidates and issues, thus reducing these costs to candidates.

COMMITTEE FOR ECONOMIC DEVELOPMENT,  
*Washington, DC*

FINAL GRANT TOWARD OUTREACH AND PUBLIC EDUCATION WITHIN THE BUSINESS COMMUNITY ON CAMPAIGN FINANCE REFORM, INCLUDING JUDICIAL ELECTIONS. TWO YEARS, \$400,000.

In 1999, the Committee for Economic Development (CED), an independent, nonpartisan research organization with more than 200 trustees representing some of the nation's largest corporations and educational organizations, released *Investing in the People's Business: A Business Report for Campaign Finance Reform*. This report, among CED's other publications, asserts that campaign finance reform is both good for business and good for democracy. CED is working on three projects: defending the Bipartisan Campaign Reform Act of 2002; targeting judicial elections as the next phase of its campaign finance reform advocacy; and working with the accounting industry to promote "the checkoff" on federal tax returns to support the public funding of the presidential campaign.

DEMOCRACY MATTERS INSTITUTE, *Hamilton, NY*

CAMPUS COORDINATOR PROGRAM. TWO YEARS, \$150,000.

Founded by Adonal Foyle, a National Basketball Association player and Colgate University alumnus, the Democracy Matters Institute is a campus-based organization created to help students and other young people in the community view political engagement as an effective and meaningful way to contribute their voices and vision to society. With thirty chapters throughout the country, the institute provides a formalized and replicable model that



uses the issue of campaign finance reform as a means for civically engaging young people. With Corporation funding, the institute is expanding its campus coordinator program to twenty new colleges and universities.

FANNIE LOU HAMER PROJECT, INC.,  
*Kalamazoo, MI*

FINAL GRANT TOWARD SUPPORT. TWO YEARS,  
\$120,000.

Named in honor of Fannie Lou Hamer, who founded the Mississippi Freedom Democratic Party and successfully challenged the Democratic Party at the National Convention in 1964 to provide equal seating for African Americans, the Fannie Lou Hamer Project was established in 1999 by academics, activists and lawyers from around the country to galvanize broad public support in communities of color for an alternative method of financing election campaigns. Through its network, and despite its youth and size, it is now a national voice in articulating the disparate social, economic and political impact of campaign financing on communities of color and low-income populations.

GREENLINING INSTITUTE, *San Francisco, CA*

ONE-TIME FUNDING FOR ANALYZING THE IMPACT OF THE STATE-BASED VOTER EDUCATION AND MOBILIZATION COMPONENT OF THE BIPARTISAN CAMPAIGN REFORM ACT OF 2002. TWO YEARS,  
\$150,000.

The Levin Amendment of the 2002 Bipartisan Campaign Reform Act specifically allows donors to contribute up to \$10,000 in soft money per year to be used for traditional voter mobilization activities: voter registration, voter identification, get-out-the-vote programs and generic campaign activities that do not mention a federal candidate and do not involve broadcast media components. The Greenlining Institute, a research and education group based in California, is undertaking research and public education activities to examine how political parties are responding to the Levin Amendment, especially as it impacts marginalized groups in California. In utilizing new disclosure laws

designed to increase transparency surrounding party finances and operations, the institute aims to add its voice, and that of its constituents, to discussions concerning enfranchisement, party building and voter outreach.

UNIVERSITY OF PENNSYLVANIA, *Philadelphia, PA*

FINAL GRANT TOWARD RESEARCH BY THE ANNENBERG SCHOOL FOR COMMUNICATION AND THE ANNENBERG PUBLIC POLICY CENTER ON LEGISLATIVE ISSUE ADVERTISING. TWO YEARS, \$300,000.

A team of researchers at the University of Pennsylvania's Annenberg Public Policy Center is examining legislative-centered issue ads, which seek to influence the outcome of specific legislative proposals or build support for increased or diminished government action around an issue. Members of the project are collecting and analyzing content and spending data on legislative issue advertising in broadcast and newspaper print ads running in the Washington, DC, area, where most legislative issue advocacy campaigns appear in order to target federal legislators. The project also entails the collection of information about corporations and organizations that are the largest spenders on ad campaigns, profiles of the major issues addressed in the ads, the expansion, maintenance and promotion of the center's web site and the regular dissemination of information through traditional press channels. A final report will be released in 2005.

PUBLIC CAMPAIGN, *Washington, DC*

FINAL GRANT TOWARD SUPPORT. TWO YEARS,  
\$500,000.

Established in 1997, Public Campaign is a nonprofit, nonpartisan organization that aims to reduce the role of special interest money in America's elections and the influence of big contributors in American politics. Public Campaign works with various organizations, particularly citizen groups around the country that are fighting for change in their states, to foster information and skills exchanges, coordinate special projects and materials benefiting all participating states and develop state-specific legislative campaign plans and provide ongoing

technical assistance. Over the next two years, Public Campaign is undertaking activities to strengthen the advocacy efforts of state partners that promote public financing of campaigns, diversify the national coalition of supporters for public financing; and increase its communications strategies to foster a better understanding of campaign contributions and policy decisions.

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## Immigrant Civic Integration

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CATHOLIC LEGAL IMMIGRATION NETWORK, INC.,  
*Washington, DC*

IMMIGRANT CIVIC INTEGRATION POLICY WORK.  
EIGHTEEN MONTHS, \$300,000.

The Catholic Legal Immigration Network (CLINIC) provides a full range of support services to Catholic Charities' and diocesan legal immigration programs. These local Catholic programs directly represent poor immigrants with a focus on reunification of families and protection of those fleeing persecution or civil unrest. With support from the Corporation, CLINIC is undertaking a project focused on three pillars of immigrant integration: citizenship, legalization and civic engagement. Members of the project are developing a framework for immigrant policy at the national, state and local level by creating a comprehensive naturalization service delivery plan, analyzing lessons learned from the 1986 amnesty legislation, identifying and promoting best practices between immigrant-led organizing agencies and direct service providers and advocating for a better citizenship system and a fair legalization program.

CENTER FOR COMMUNITY CHANGE,  
*Washington, DC*

CIVIC PARTICIPATION WORK AMONG LOW-INCOME  
IMMIGRANTS IN THE STATES. ONE YEAR, \$250,000.

The Center for Community Change is convening, coordinating and administering a nationwide effort to increase civic participation among immigrants. Specifically, the center is building on the capacity of

organizations that serve the immigrant community to expand networks with one another and connect to allied constituencies, raise the profile of immigrant issues in the media and public debate and advance a public policy agenda defined and led by immigrants. The center will help representatives of the organizations strengthen and develop leadership skills and provide the groups with an array of organizational development assistance. The center is also providing training that will assist the groups in instituting ongoing voter engagement activities aimed at helping new or infrequent voters become more civically involved.

CENTURY FOUNDATION, *New York, NY*

RESEARCH AND PUBLIC EDUCATION ON THE NEXUS OF  
DOMESTIC SECURITY, CIVIL LIBERTIES AND IMMIGRANT  
COMMUNITIES. TWO YEARS, \$300,100.

To help the public assess current debates on freedom, civil liberties, privacy and domestic security, especially in relation to how policy changes are impacting immigrant communities, the Century Foundation has assembled some of the nation's most experienced thinkers and analysts to examine homeland security and civil liberties. The project entails working groups that in the next two years will focus on personal privacy, the public's right to know, immigration, government sponsorship of scientific research, the role of the media and homeland security. Members of the project hold conferences, produce essays and books and appear widely to discuss policy changes and other trends. The project is co-chaired by former governors of New Jersey and Ohio, Thomas Kean and Richard Celeste. Corporation funds are supporting the project's working group on immigration.

INTERFAITH EDUCATION FUND, INC., *Austin, TX*

IMMIGRANT LEADERSHIP PROJECT. ONE YEAR,  
\$200,000.

The Interfaith Education Fund (IEF) was created in 1989 to assist the Southwest Industrial Areas Foundation (IAF) organizations in building the influence necessary to improve the conditions of immigrant and low-income families. IAF, which comprises congregations, schools, unions and

community members, operates in 26 communities in states along the Mexico border, Nebraska, Iowa, Louisiana and California. IEF provides research and technical support for these member institutions on issues such as immigration, housing, job training, wages, education, healthcare, safety and economic development. The Corporation is supporting a leadership recruitment and training module for immigrants in Arizona, California, Nebraska, New Mexico and Texas.

SOCIAL SCIENCE RESEARCH COUNCIL,  
*New York, NY*

ONE-TIME FUNDING TOWARD A PROJECT ON THE CHALLENGE OF MIGRATION WITHIN THE CONTEXT OF NATIONAL SECURITY. ONE YEAR, \$150,000.

After September 11th, when al Qaeda cells were revealed to exist in Germany, Italy, Spain, Thailand, Indonesia and elsewhere, it became clear that this was a worldwide operation, with no firm national base, which, by its nature, depended on migration. The Social Science Research Council is undertaking a project to explore attendant changes in migration and security policies since September 11th. The project, which brings together representatives of Arab American and Muslim communities in the United States and homeland security experts, seeks to accomplish three main objectives: to create a problem-solving dialogue between Arab American and Muslim communities and the homeland-security community; generate new knowledge about the foundation of post-September 11th homeland security policies and the effects of policy implementation on Arab and Muslim communities in the United States; and develop educational tools to inform the American public and policy stakeholders about issues of migration, citizenship and domestic and international security.

WILLIAM C. VELÁSQUEZ INSTITUTE, INC.,  
*San Antonio, TX*

ONE-TIME FUNDING TOWARD MEASURING LATINO POLITICAL PARTICIPATION IN 2003-04. TWO YEARS, \$200,000.

The William C. Velásquez Institute is creating a nonpartisan survey research consortium for the purpose of conducting state and national Latino voter research in the primary and general election cycles in the 2004 elections. This work is to provide large sample, Latino-specific voter surveys that will report on Latino voting trends and characteristics across the United States. The goal is to provide independent, low margin of error survey results that will be more detailed than surveys conducted by partisan or non-Latino mainstream media organizations. Dissemination of the survey and research results will include extensive outreach to academic, policy and community groups, the news media and the public.

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## Strengthening the Nonprofit and Philanthropic Sector

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ACTION WITHOUT BORDERS, INC., *New York, NY*

IDEALIST.ORG, A HUMAN RESOURCES WEB SITE FOR NONPROFITS AND NONPROFIT JOB-SEEKERS.  
TWO YEARS, \$300,000.

Launched in 1995, Action Without Borders operates Idealist.org, a web site created in 1996 that has become the leading nonprofit career center on the Internet, linking nonprofit job seekers with a wide variety of organizations in the United States and internationally. Today, more than 40,000 nonprofit organizations in 180 countries regularly use Idealist to post information about their mission, services, resources and internships. Idealist also holds an annual conference for nonprofit human resource professionals and, in recognition of young people's increasing interest in nonprofit careers, holds nonprofit career fairs at scores of university campuses across the country. With Corporation support, Idealist is continuing to promote the nonprofit sector as a career choice for young people and expand the range of services it provides to thousands of nonprofit managers. The goal is to strengthen the human resources capacity of the nonprofit sector.

JOHNS HOPKINS UNIVERSITY, *Baltimore, MD*

FINAL GRANT TOWARD A NATIONAL RESEARCH PROJECT THAT WILL IMPROVE THE FLOW OF INFORMATION ABOUT FIELD-BASED NONPROFIT PRACTICES TO NONPROFIT TEACHING, TECHNICAL ASSISTANCE AND RESEARCH INSTITUTIONS. ONE YEAR, \$100,000.

The nonprofit sector suffers from a lack of timely information about the challenges it faces and the strategies many nonprofits use for coping with these challenges. The Listening Post Project of Johns Hopkins University conducts quarterly web-based surveys (or “soundings”) of 1,000 randomly-sampled nonprofit agencies that serve as “listening posts” on the major developments in the nonprofit field. These soundings are then quickly fed back to practitioners, researchers, journalists and others through publications, listservs and other communiqués. The project also develops case studies for use in graduate nonprofit management programs—similar to those used in business schools—and holds practitioner-scholar summits.

MARYLAND ASSOCIATION OF NONPROFIT ORGANIZATIONS, *Baltimore, MD*

FINAL GRANT TOWARD NATIONAL REPLICATION OF ITS STANDARDS FOR EXCELLENCE PROGRAM. ONE YEAR, \$350,000.

Established in 1992, the Maryland Association of Nonprofit Organizations provides hundreds of nonprofit member organizations with networking opportunities, access to affordable health and insurance benefit programs, technical assistance in all facets of management and governance and representation in public policy debates. In 1998, the association launched its Standards for Excellence Program, a comprehensive set of performance indicators nonprofits can use to assess their core management, self-regulation and accountability mechanisms. With previous Corporation support, the association replicated the program in five other states. Given the growing demand for the program and positive evaluation results, the association is now replicating the program nationally through the establishment of a national standards institute that will design and disseminate generic and customized,

state-specific editions of the program to nonprofit intermediaries, state associations and management support organizations.

PHILANTHROPIC RESEARCH, INC.,  
*Williamsburg, VA*

GUIDESTAR, A NATIONAL DATABASE OF NONPROFIT ORGANIZATIONS. ONE YEAR, \$200,000.

Established in 1994, GuideStar has become America’s most comprehensive database about nonprofit organizations and an integral part of the nonprofit sector’s infrastructure. Operating as a public research library, GuideStar currently serves more than 400,000 users—including donors, foundations, corporations and government agencies—that can access information about more than 850,000 nonprofit organizations at no charge. GuideStar also provides customized services, available by subscription and license, and partners with government agencies to help provide effective oversight of and grants to nonprofits across the country. During 2004, GuideStar expanded its services toward the goal of obtaining at least half of its revenue in earned income fees.

THIRD SECTOR NEW ENGLAND, INC., *Boston, MA*

FINAL GRANT TOWARD DEVELOPMENT AND NATIONAL EXPANSION OF THE NONPROFIT QUARTERLY. ONE YEAR, \$350,000.

Published by Third Sector New England, one of the country’s leading nonprofit management support organizations, the Nonprofit Quarterly is a national news magazine that provides management options and critical analysis for both nonprofit practitioners and scholars. In 2001, the Corporation provided a grant to position this publication as a “must read” for the field through several marketing and editorial development activities that have been implemented successfully. With renewed support, the Quarterly will deepen and expand its outreach and marketing efforts, develop new products and dissemination venues for information about the sector and design more sophisticated and diversified business and fundraising plans for long-term sustainability and growth.

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## Voting Reform and Education

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WILLIAM J. BRENNAN, JR., CENTER FOR JUSTICE, INC., *New York, NY*

SUPPORT OF ITS DEMOCRACY PROGRAM. TWO YEARS, \$500,000.

Founded in 1996 by former clerks of Justice William J. Brennan, Jr., the Brennan Center for Justice, housed at New York University, has achieved a national reputation for its research, reports and litigation on a wide range of political, social and economic issues. The center is widely respected by national and state public interest groups, to which it serves as a resource and partner. The Corporation is supporting its democracy program.

WILLIAM J. BRENNAN, JR., CENTER FOR JUSTICE, INC., *New York, NY*

(GRANT ORIGINALLY MADE TO JEHT FOUNDATION, NEW YORK, NY)

A STRATEGIC COMMUNICATIONS PROJECT OF THE RIGHT TO VOTE CAMPAIGN, WHICH SEEKS TO REMOVE THE BARRIERS TO VOTING FACED BY PEOPLE WITH FELONY CONVICTIONS. EIGHTEEN MONTHS, \$200,000.

In the United States, depending on the state or locality, former felons may be denied financial aid to attend university, the ability to apply for subsidized housing and other federal assistance programs and certain occupational licenses. More than 4.7 million citizens are unable to vote in federal or state elections because they have a felony conviction. For former felons, successful reintegration into community and civic life may involve not only job training and counseling, but also the restoration of their rights as citizens. In 2002, eight national organizations working from different perspectives on restoring the voting rights of former felons—the American Civil Liberties Union Foundation, the Brennan Center for Justice, Demos, the Mexican American Legal Defense and Education Fund, the NAACP, NAACP Legal Defense and Educational Fund, the People for the American Way Foundation and the Sentencing Project—came together to coordinate a comprehensive, multifaceted national Right to Vote Campaign.

CENTER FOR PUBLIC INTEGRITY, *Washington, DC*

SUPPORT OF ITS DOMESTIC PROGRAM. TWO YEARS, \$500,000.

In an era of drastically reduced budgets for investigative reporting, the Center for Public Integrity plays a crucial role in providing the American public with bipartisan examinations and analysis of public service, governmental accountability and ethics-related issues at the federal, state and local levels, published and distributed in books, reports and newsletters. Among its activities over the coming two years, the center, as it did in 1996 and 2000, will examine the “career patrons” of all major presidential candidates, to result in the publication of a commercial book, *The Buying of the President 2004*.

EARTH DAY NETWORK INC., *Washington, DC*

CAMPAIGN FOR COMMUNITIES' WORK WITH LOW-PROPENSITY VOTERS. ONE YEAR, \$200,000.

Earth Day Network, which traditionally has focused on organizing Earth Day—a worldwide effort to bring attention to the environment—has come together with the NAACP Voter Fund, Project Vote and Southwest Voter Registration and Education Project to create in 2004 the cross-cultural Campaign for Communities coalition. The coalition aims to enroll youth and minority communities in civic life and leverage this participation to seek greater responsiveness from the political process and public sphere. In addition to voter registration, education and mobilization, the project is developing messages to inspire voter participation around urban infrastructure issues, such as transportation, jobs, schools, air and water quality and parks and green spaces, all in the context of declining state and local budgets.

LAWYERS' COMMITTEE FOR CIVIL RIGHTS UNDER LAW, *Washington, DC*

RESEARCH AND PUBLIC EDUCATION PROJECT ABOUT THE UPCOMING REAUTHORIZATION OF PROVISIONS OF THE FEDERAL VOTING RIGHTS ACT. TWO YEARS, \$200,000.

Widely recognized as one of the most important pieces of legislation in U.S. history, the Voting Rights Act, since its enactment in 1965, has been instrumental in providing minorities access to the political process and in overcoming discriminatory election laws and practices. In 2007, Congress will consider reauthorization of the Act and, in particular, renewal of Sections 5 and 203. Section 5 requires that jurisdictions with histories of racial discrimination obtain prior approval from the U.S. Department of Justice; Section 203 relates to language minorities. Over the coming two years, the Lawyers' Committee for Civil Rights Under Law is documenting the successes and limitations of Sections 5 and 203 as developed since their extension in 1982.

UNIVERSITY OF PENNSYLVANIA, *Philadelphia, PA*

RESEARCH AND ANALYSIS ON ELECTION DAY VOTING PROBLEMS. ONE YEAR, \$250,000.

Although the federal Help America Vote Act of 2002 provided funding to states for increased accessibility to polling stations, improved voting machines, provisional balloting and statewide voter registration systems, the country's voting system remains decentralized and underfunded. The Fels Institute of Government of the University of Pennsylvania—in collaboration with the Common Cause Education Fund, the Reform Institute, the National Constitution Center, VoterLink Data Systems and a coalition of civil and voting rights organizations—is undertaking a national research project to compile evidence from voters of continuing stresses on the U.S. electoral system. The goal of the research is to provide an evidentiary base for subsequent academic studies and reform efforts.

PEOPLE FOR THE AMERICAN WAY FOUNDATION,  
*Washington, DC*

FINAL GRANT TOWARD EXPANSION OF A PROJECT TO PROMOTE CIVIC PARTICIPATION, EDUCATE VOTERS ABOUT THEIR RIGHTS AND ASSIST THEM ON ELECTION DAY. FIFTEEN MONTHS, \$250,000.

People for the American Way, in collaboration with numerous national and local partners, is undertaking a nonpartisan project to promote civic participation,

educate voters about their rights and provide voters with immediate help to resolve problems on Election Day in approximately twenty states in 2004. The project is creating "Voters' Bills of Rights" for each state, which address the unique aspects of the state's voting rights, and is recruiting volunteers to work as monitors at polling places.

PROJECT VOTE/VOTING FOR AMERICA, INC.,  
*Brooklyn, NY*

SUPPORT. FIFTEEN MONTHS, \$200,000.

Founded in 1982, Project Vote offers nonpartisan voter registration and education to low propensity voters in low-income, immigrant and other communities. The project uses a network-building model that forges relationships and establishes coalitions with a wide range of community organizations and leaders, who, in turn, canvass neighborhoods during election cycles, educate neighbors about local and national issues and provide nonpartisan voter education materials. In preparing for the 2004 election, Project Vote is working in communities in fifteen states.

REFORM INSTITUTE INC., *Alexandria, VA*

DEMOCRACY AND ELECTIONS PROGRAM. TWO YEARS,  
\$200,000.

Founded by Arizona Republican Senator John McCain, the Reform Institute represents a moderate to conservative voice in the political reform movement. The Reform Institute and its staff are key members in coalition efforts on campaign finance reform and other electoral reform initiatives at both the federal and state level. In particular, they have been engaged in helping to defend Arizona's "clean elections" reform at the state level, supporting the public financing of state judicial elections in North Carolina and other states, and urging that broadcasters grant free TV time to candidates in election years. Corporation funds will support the institute's electoral reform work over the coming two years.

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## Youth Civic Engagement

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BILL OF RIGHTS INSTITUTE, *Arlington, VA*

ONE-TIME FUNDING TOWARD THE FIRST PHASE OF A PROJECT TO DEVELOP AND EVALUATE CIVIC EDUCATION MATERIALS FOR NON-COLLEGE BOUND HIGH SCHOOL YOUTH. EIGHTEEN MONTHS, \$175,000.

Established in 1999, the Bill of Rights Institute develops and disseminates classroom-tested educational resources that supplement standard high-school American government and history textbooks by linking the Bill of Rights and other founding documents with current local and national events and issues, including those occurring in young people's communities. To test the hypothesis that non-college bound young people would benefit from a more challenging program that engages them in discussions and activities linked to instruction about history and government, the institute is developing a new set of educational materials for this constituency and conducting a longitudinal survey to assess the level of civic knowledge among students who participate in these programs, as well as their levels of civic engagement.

BROWN UNIVERSITY, *Providence, RI*

EFFORTS TO USE TWO MODEL PROGRAMS TO PROMOTE A COMPREHENSIVE APPROACH TO CIVIC EDUCATION IN MAINE AND INDIANA. FORTY-FOUR MONTHS, \$598,400.

Established in 1988, the Choices for the 21st Century Education Program of the Watson Institute for International Studies at Brown University engages high school students in discussing, deliberating and analyzing current international, civic and political issues. The program, which aims to foster critical thinking, shared deliberation and informed decision making, develops and disseminates nationally-acclaimed curriculum materials and an experiential learning program, the Capitol Forum, which brings high school students to their state capitals to interact with elected officials. With Corporation support, the program is forging links between educators in the civic education and

international affairs communities to develop and integrate a more comprehensive approach to civic education in Maine and Indiana.

CONSTITUTIONAL RIGHTS FOUNDATION,  
*Los Angeles, CA*

COALITION BUILDING, PUBLIC EDUCATION, RESEARCH AND COMMUNICATIONS TO PROMOTE A COMPREHENSIVE APPROACH TO SCHOOL-BASED CIVIC EDUCATION IN CALIFORNIA. TWO YEARS, \$549,400.

Established in 1962, the Constitutional Rights Foundation develops and disseminates a wide variety of civic education programs and curriculum materials that help breathe new life into traditional civics classes by linking instruction about local, state and federal government with experiential opportunities that encourage young people to analyze and address community problems and issues. The foundation also holds mock trial competitions, manages an award-winning web site, and produces numerous publications that are used by educators across the country. To capitalize on increasing opportunities for incorporating more effective approaches to school-based civic education in California, the foundation is creating a new statewide coalition to advocate for the incorporation of these approaches in standards, testing and curriculum by documenting their effectiveness and conducting outreach with state education policymakers, superintendents and the public.

COUNCIL FOR EXCELLENCE IN GOVERNMENT,  
*Washington, DC*

ESTABLISHMENT OF A NATIONAL COALITION THAT ADVOCATES FOR IMPLEMENTATION OF THE POLICY RECOMMENDATIONS OUTLINED IN THE *CIVIC MISSION OF SCHOOLS* REPORT. THREE YEARS, \$1,000,000.

Publication and distribution of *The Civic Mission of Schools*, a joint report of the Corporation and the Center for Information and Research on Civic Learning and Engagement (CIRCLE), has been a major component of the Corporation's strategy to advocate a more comprehensive approach to school-based civic education. To help implement the report's policy recommendations, the Council for

Excellence in Government, in conjunction with the Academy for Educational Development, is overseeing the development of a national coalition of major national civic education organizations, legal and policymaking institutions, teaching associations, legislators and other leaders committed to promoting comprehensive approaches to K-12 school-based civic education at both the state and federal level. Serving as a coordinating entity among diverse organizations, the coalition will undertake an array of strategic communications and advocacy efforts to help mobilize support in federal and state policymaking circles.

EARTH FORCE, *Alexandria, VA*

EFFORTS TO USE THE EARTH FORCE PROGRAM AS A MODEL TO PROMOTE A COMPREHENSIVE APPROACH TO CIVIC EDUCATION IN MICHIGAN. THREE YEARS, \$517,600.

Earth Force is a nationally acclaimed middle-school program that links classroom instruction in science and civics with opportunities for young people to work on local environmental issues and community projects. Operating in thousands of schools across the country, Earth Force also provides teacher training, resources and curriculum materials for educators and administrators committed to incorporating more comprehensive approaches to school-based civic education. With Corporation support, Earth Force is helping two Michigan school districts to create systemic change by incorporating the model approach to civic education into the curricula. The goal is to foster broad incorporation throughout the state, as well as in other states.

INSTITUTE OF GOVERNMENT FOUNDATION, INC.,  
*Chapel Hill, NC*

NORTH CAROLINA CIVIC EDUCATION CONSORTIUM.  
TWO YEARS. \$420,000.

Established in 1997 by public officials and community leaders concerned about whether communities were preparing young people in North Carolina for citizenship, the North Carolina Civic Education Consortium has since become one of the country's most effective organizations working to promote

and build a statewide infrastructure that supports comprehensive school-based civic education in schools. With Corporation support, the consortium is strengthening its existing partnerships, networks and alliances and developing new ones; building a stronger identity and brand for the organization through more strategic communications efforts; and enhancing its capacity to serve as a policy reform leader and national model for civic education reform.

UNIVERSITY OF MINNESOTA, *Minneapolis, MN*

EVALUATION OF THE CENTER FOR DEMOCRACY AND CITIZENSHIP'S PUBLIC ACHIEVEMENT PROGRAM, WHICH TEACHES CIVIC SKILLS THROUGH COMMUNITY PARTICIPATION AND PROBLEM SOLVING. THREE YEARS, \$499,600.

Headquartered at the University of Minnesota's Center for Democracy and Citizenship, Public Achievement is a school-based program that uses community service and problem solving to address community problems and foster civic action. Participants in the program work in teams to develop strategies for improving their schools, neighborhoods and communities; these experiences become the basis for classroom discussions about important democratic processes and concepts. With Corporation support, the center is conducting a rigorous evaluation of the program to demonstrate how and why this approach can be used in schools as a model to increase young people's civic knowledge, behaviors and skills.

UNIVERSITY OF PENNSYLVANIA, *Philadelphia, PA*

EFFORTS TO USE THE STUDENT VOICES PROGRAM AS A MODEL FOR CIVIC EDUCATION CURRICULUM AND STANDARDS IN PENNSYLVANIA. TWO YEARS, \$500,000.

In 1999, the Annenberg Public Policy Center launched Student Voices, a year-long high school civic education model program that brings the study of local government, policy issues and political campaigns into high school classrooms through a combination of experiential opportunities, discussion of current issues and instruction in government and policymaking processes. During the past four years, Student Voices has worked in urban



high schools in thirteen cities, where it has been shown to contribute to increases in participating students' interest in politics and voting and political discussions; awareness of elected officials; ability to form opinions about local issues; and inclination to follow the news. Student Voices is working with state education organizations in Pennsylvania, where the program is headquartered, to promote the program as a model for civic education and education standards at the state level.

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## Other

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PROJECT ON GOVERNMENT OVERSIGHT, INC.,  
*Washington, DC*

SUPPORT. TWO YEARS, \$200,000.

Since 1981, the Project on Government Oversight (POGO) has investigated, uncovered and sought to remedy abuses of power, mismanagement and accommodation to special interests by the federal government. Its successes are testimony to POGO's nonpartisanship, and the organization enjoys good relations with officials across the political spectrum. Over the next two years, POGO is making the case to policy leaders, legislators and the news media that effective government action requires the accountability provided to the public by the Freedom of Information Act and other instruments of transparency. POGO relies on the growing number of both liberal and conservative nonprofits and other allies eager to change the restrictive status of current open government laws and to reinstate the informational tools fundamental to a functional democracy.

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## Discretionary Grants

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ACTION WITHOUT BORDERS, INC., *New York, NY*

ONE-YEAR GRANT OF \$25,000 TOWARD THE MERGER OF ACTION WITHOUT BORDERS WITH CAMPUS OUTREACH OPPORTUNITY LEAGUE

AMERICAN ASSOCIATION OF PEOPLE WITH DISABILITIES, *Washington, DC*

FIVE-MONTH GRANT OF \$50,000 TOWARD ELECTORAL REFORM AND VOTER PARTICIPATION ACTIVITIES IN THE DISABLED COMMUNITY

AMERICAN DOCUMENTARY, INC., *New York, NY*

NINE-MONTH GRANT OF \$50,000 TOWARD SUPPORT OF A PUBLIC EDUCATION CAMPAIGN AROUND IMMIGRANTS, PARTICULARLY THOSE WHO RECENTLY ARRIVED

ASSOCIATION FOR COMMUNITY-HIGHER EDUCATION PARTNERSHIPS, *Memphis, TN*

ONE-YEAR GRANT OF \$25,000 TOWARD DEVELOPING A NATIONAL INFRASTRUCTURE THAT WILL SUPPORT PARTNERSHIPS BETWEEN HIGHER EDUCATION INSTITUTIONS AND NONPROFITS WORKING IN ECONOMICALLY DISTRESSED COMMUNITIES

BIG SKY INSTITUTE FOR THE ADVANCEMENT OF NONPROFITS, *Helena, MT*

ONE-YEAR GRANT OF \$15,000 TOWARD RESEARCH THAT IDENTIFIES STATES WITH LITTLE ACCESS TO PHILANTHROPIC RESOURCES AND A COMMUNICATIONS EFFORT TO ENCOURAGE MORE PHILANTHROPIC INVESTMENT IN THOSE STATES

BOARDSOURCE, *Washington, DC*

ONE-YEAR GRANT OF \$20,000 TOWARD DEVELOPMENT OF A BUSINESS PLAN FOR THE ORGANIZATION

BROOKINGS INSTITUTION, *Washington, DC*

TWO-YEAR GRANT OF \$50,000 TOWARD RESEARCH AND PUBLIC EDUCATION ON COMPETITION, PARTISANSHIP AND CONGRESSIONAL REDISTRICTING

BROOKINGS INSTITUTION, *Washington, DC*

ONE-YEAR GRANT OF \$25,000 TOWARD DISSEMINATION OF THE NATIONAL COMMISSION ON THE PUBLIC SERVICE'S RECOMMENDATIONS FOR REFORM OF THE FEDERAL PUBLIC SERVICE

BUSINESS VOLUNTEERS UNLIMITED,  
*Cleveland, OH*

ONE-YEAR GRANT OF \$25,000 FOR RESEARCH ON THE FEASIBILITY OF REPLICATING A MODEL PROGRAM THAT MATCHES BUSINESS EXECUTIVES WITH NONPROFITS IN NEED OF MANAGEMENT AND BOARD SERVICES

CAMPAIGN LEGAL CENTER, INC., *Washington, DC*

ONE-YEAR GRANT OF \$9,500 TOWARD A CONFERENCE ON THE IMPACT OF THE SUPREME COURT'S DECISION ON *McCONNELL v. FEC*, WHICH CHALLENGED THE BIPARTISAN CAMPAIGN FINANCE REFORM ACT OF 2002

CATHOLIC UNIVERSITY OF AMERICA,  
*Washington, DC*

EIGHTEEN-MONTH GRANT OF \$47,600 FOR DATA ANALYSIS AND PUBLICATIONS ABOUT THE ROLE OF SCHOOL-BASED REQUIRED AND VOLUNTARY SERVICE IN THE CIVIC DEVELOPMENT OF HIGH SCHOOL STUDENTS

CATHOLIC UNIVERSITY OF AMERICA,  
*Washington, DC*

ONE-YEAR GRANT OF \$34,100 TOWARD A SEMINAR SERIES TO ANALYZE AND DEVELOP NEW YOUTH DEVELOPMENT AND POLITICAL SOCIALIZATION MODELS FOR YOUTH CIVIC ENGAGEMENT

CENTER FOR COMMUNITY CHANGE,  
*Washington, DC*

TWO-YEAR GRANT OF \$10,000 AS MEMBERSHIP SUPPORT (2003 AND 2004) FOR THE FUNDERS' COMMITTEE FOR CIVIC PARTICIPATION

CENTER FOR EFFECTIVE PHILANTHROPY, INC.,  
*Cambridge, MA*

ONE-YEAR GRANT OF \$25,000 TOWARD THE SECOND PHASE OF A RESEARCH PROJECT ON FOUNDATION GOVERNANCE

CENTER FOR PUBLIC INTEREST RESEARCH, INC.,  
*Boston, MA*

SIX-MONTH GRANT OF \$25,000 TOWARD DEVELOPMENT OF THE NEW VOTERS PROJECT'S ONLINE NONPARTISAN VOTER REGISTRATION TECHNOLOGY

CLARK ATLANTA UNIVERSITY, *Atlanta, GA*

TWENTY-THREE-MONTH GRANT OF \$25,000 FOR A STUDY ON THE IMPACT OF PROPORTIONAL REPRESENTATION ON BLACK POLITICAL REPRESENTATION IN ALABAMA

COMMUNICATIONS NETWORK, *Silver Spring, MD*

ONE-YEAR GRANT OF \$10,000 AS MEMBERSHIP SUPPORT

COUNCIL FOR EXCELLENCE IN GOVERNMENT,  
*Washington, DC*

ONE-YEAR GRANT OF \$8,000 TOWARD RESEARCH THAT WILL IMPROVE TOOLS DESIGNED TO HELP CANDIDATES REACH OUT TO YOUNGER VOTERS

COUNCIL FOR EXCELLENCE IN GOVERNMENT,  
*Washington, DC*

SEVEN-MONTH GRANT OF \$50,000 FOR PLANNING A NATIONAL EFFORT TO IMPLEMENT THE RECOMMENDATIONS OF THE *CIVIC MISSION OF SCHOOLS* REPORT

CHICAGO COUNCIL ON FOREIGN RELATIONS,  
*Chicago, IL*

SIX-MONTH GRANT OF \$25,000 TOWARD  
DISSEMINATION OF ITS IMMIGRATION TASK FORCE  
REPORT

DEMOCRACY NORTH CAROLINA, *Carrboro, NC*

ONE-YEAR GRANT OF \$25,000 TOWARD RESEARCH,  
PUBLIC EDUCATION AND ADVOCACY ON JUDICIAL  
CAMPAIGN FINANCING REFORM IN NORTH CAROLINA

DEMOCRACY SOUTH, *Virginia Beach, VA*

SIX-MONTH GRANT OF \$49,700 TOWARD PROVIDING  
NONPARTISAN VOTER REGISTRATION AND VOTER  
MOBILIZATION TARGETING SERVICES

ECONOMIC POLICY INSTITUTE, *Washington, DC*

SIXTEEN-MONTH GRANT OF \$25,000 TOWARD A  
PROJECT TO ASSESS IMMIGRANT WORKER CENTER  
MODELS

FORDHAM UNIVERSITY, *New York, NY*

ONE-YEAR GRANT OF \$50,000 TOWARD A COMMISSION  
TO PROMOTE PUBLIC CONFIDENCE IN JUDICIAL  
ELECTIONS IN NEW YORK STATE

FOUNDATION CENTER, *New York, NY*

ONE-YEAR GRANT OF \$33,000 AS MEMBERSHIP  
SUPPORT

FOUNDATION CENTER, *New York, NY*

ONE-YEAR GRANT OF \$35,000 TOWARD RESEARCH ON  
THE PHILANTHROPIC RESPONSE TO THE EVENTS OF  
SEPTEMBER 11TH

GAMALIEL FOUNDATION, *Chicago, IL*

SEVEN-MONTH GRANT OF \$25,000 TOWARD  
COORDINATION OF ITS NATIONAL IMMIGRANT CIVIC  
INTEGRATION PROJECT

GRANTMAKERS FOR EFFECTIVE ORGANIZATIONS,  
*Washington, DC*

ONE-YEAR GRANT OF \$8,000 AS MEMBERSHIP SUPPORT

HARVARD UNIVERSITY, *Cambridge, MA*

NINE-MONTH GRANT OF \$50,000 FOR USE BY THE  
CIVIL RIGHTS PROJECT, FOR A RESEARCH SYMPOSIUM  
ON THE IMPACT OF THE VOTING RIGHTS ACT OF 1965

HOPE FOUNDATION, INC., *Hudson, MA*

SIX-MONTH GRANT OF \$8,500 TOWARD DATA  
COLLECTION AND EVALUATION OF A HIGH SCHOOL  
IN HUDSON, MASSACHUSETTS, THAT INVOLVES ALL  
STUDENTS IN SCHOOL DECISION-MAKING PROCESSES  
AND POLICIES

UNIVERSITY OF HOUSTON, *Houston, TX*

ONE-YEAR GRANT OF \$25,000 TOWARD THE  
PUBLICATION AND DISSEMINATION OF *Su Voto es Su  
Voz*, A BIOGRAPHY OF WILLIAM C. VELÁSQUEZ

HUMAN INTERACTION RESEARCH INSTITUTE,  
*Encino, CA*

ONE-YEAR GRANT OF \$19,000 TOWARD USING AN  
EXISTING DATABASE TO STUDY FOUNDATION SUPPORT  
OF NONPROFIT CAPACITY BUILDING AND ITS NATIONAL  
INFRASTRUCTURE

IMMIGRANT WORKERS CITIZENSHIP PROJECT,  
*Las Vegas, NV*

FIVE-MONTH GRANT OF \$25,000 TOWARD A NATIONAL  
PUBLIC EDUCATION CAMPAIGN ON CITIZENSHIP

INDEPENDENT SECTOR, *Washington, DC*

TWO-YEAR GRANT OF \$25,000 AS MEMBERSHIP  
SUPPORT (2003 AND 2004)

INTERNATIONAL INSTITUTE FOR EDUCATIONAL  
PLANNING, *Paris, France*

ONE-YEAR GRANT OF \$50,000 TOWARD MEMBERSHIP  
SUPPORT FOR THE ASSOCIATION FOR THE  
DEVELOPMENT OF EDUCATION IN AFRICA

INVESTIGATIVE REPORTERS AND EDITORS, INC.,  
*Columbia, MO*

ONE-YEAR GRANT OF \$15,000 TOWARD TRAINING  
STATE AND LOCAL NEWS MEDIA ON CAMPAIGN  
FINANCING ISSUES

IOWA STATE UNIVERSITY, *Ames, IA*

FOURTEEN-MONTH GRANT OF \$15,000 FOR A PROJECT  
ON INTERNET VOTING IN RURAL COMMUNITIES

LOWER EAST SIDE TENEMENT MUSEUM,  
*New York, NY*

SIX-MONTH GRANT OF \$15,000 TOWARD MARKETING  
AND DISTRIBUTION OF A RESOURCE GUIDE FOR NEW  
IMMIGRANTS IN NEW YORK CITY

UNIVERSITY OF MARYLAND, *College Park, MD*

EIGHTEEN-MONTH GRANT OF \$50,000 FOR RESEARCH  
AS TO WHETHER AND HOW DIFFERENT TYPES OF TEXT  
MATERIAL ENHANCE STUDENTS' CIVIC KNOWLEDGE  
AND ENGAGEMENT

UNIVERSITY OF MARYLAND FOUNDATION, INC.,  
*Adelphi, MD*

FOUR-MONTH GRANT OF \$50,000 TOWARD  
PRODUCTION AND DISSEMINATION OF THE *CIVIC  
MISSION OF SCHOOLS* REPORT

MEXICAN AMERICAN LEGAL DEFENSE AND  
EDUCATIONAL FUND, INC., *Los Angeles, CA*

ONE-YEAR GRANT OF \$25,000 TOWARD A PROJECT TO  
DEEPEN LATINO POLITICAL INVOLVEMENT

NATIONAL ORGANIZATION ON DISABILITY, INC.,  
*Washington, DC*

ONE-YEAR GRANT OF \$50,000 FOR SURVEY RESEARCH  
ON BARRIERS TO ELECTORAL ENGAGEMENT IN THE  
DISABILITY COMMUNITY

NEIGHBORHOOD FUNDERS GROUP,  
*Washington, DC*

ONE-YEAR GRANT OF \$5,000 TOWARD ITS 2004  
ANNUAL MEETING ON DEMOCRACY AND CIVIC  
ENGAGEMENT

NEW YORK COMMUNITY TRUST, *New York, NY*

ONE-YEAR GRANT OF \$50,000 TOWARD THE FUND FOR  
NEW CITIZENS, A FUNDER COLLABORATIVE FOCUSING  
ON IMMIGRANTS IN NEW YORK CITY

NEW YORK REGIONAL ASSOCIATION OF  
GRANTMAKERS, INC., *New York, NY*

ONE-YEAR GRANT OF \$16,000 AS MEMBERSHIP  
SUPPORT

NORTH CAROLINA CENTER FOR PUBLIC POLICY  
RESEARCH INC., *Raleigh, NC*

ONE-YEAR GRANT OF \$25,000 TOWARD NATIONAL  
DISSEMINATION OF ITS ELECTION REFORM PROJECT  
FINDINGS

NORTH CAROLINA CENTER FOR VOTER  
EDUCATION, *Raleigh, NC*

ONE-YEAR GRANT OF \$25,000 TOWARD A PUBLIC  
EDUCATION CAMPAIGN TO PROMOTE PUBLIC  
AWARENESS OF STATEWIDE JUDICIAL CAMPAIGN  
FINANCING REFORM IN NORTH CAROLINA

NORTHERN CALIFORNIA GRANTMAKERS,  
*San Francisco, CA*

ONE-YEAR GRANT OF \$25,000 TOWARD RESEARCH AND  
WRITING ON IMMIGRANT CIVIC PARTICIPATION IN THE  
UNITED STATES

NORTHERN CALIFORNIA GRANTMAKERS,  
*San Francisco, CA*

ONE-YEAR GRANT OF \$1,000 AS MEMBERSHIP SUPPORT FOR GRANTMAKERS CONCERNED WITH IMMIGRANTS AND REFUGEES, A PROJECT OF NORTHERN CALIFORNIA GRANTMAKERS

N POWER, *Seattle, WA*

ONE-YEAR GRANT OF \$18,000 FOR EVALUATION OF THE IMPACT OF TECHNOLOGY AND TECHNOLOGY CAPACITY BUILDING SERVICES IN THE NONPROFIT SECTOR

PARTNERS FOR DEMOCRATIC CHANGE,  
*San Francisco, CA*

ONE-YEAR GRANT OF \$25,000 TOWARD DEVELOPING A TRAINING AND TECHNICAL ASSISTANCE PROGRAM FOR IMMIGRANT COMMUNITIES IN PUBLIC ADVOCACY, POLICY CHANGE MANAGEMENT AND CONFLICT RESOLUTION

PEACE GAMES INC., *Boston, MA*

ONE-YEAR GRANT OF \$23,900 TOWARD RESEARCH, EVALUATION, AND DISSEMINATION ABOUT SCHOOL-BASED PROGRAMS AND PRACTICES THAT ENCOURAGE CIVIC ENGAGEMENT IN YOUNG CHILDREN

PHILANTHROPIC RESEARCH, INC.,  
*Williamsburg, VA*

NINE-MONTH GRANT OF \$50,000 TOWARD MODERNIZING THE NEW YORK STATE CHARITIES BUREAU

PHILANTHROPY ROUNDTABLE, *Washington, DC*

ONE-YEAR GRANT OF \$2,500 TOWARD MEMBERSHIP SUPPORT IN 2004

PROTEUS FUND, INC., *Amherst, MA*

NINE-MONTH GRANT OF \$50,000 TOWARD STRENGTHENING THE CAPACITY OF THE STATE STRATEGIES FUND TO PROVIDE TECHNICAL ASSISTANCE TO STATEWIDE, MULTI-ISSUE, PUBLIC INTEREST COALITIONS

PUBLIC AGENDA FOUNDATION, INC.,  
*New York, NY*

ONE-YEAR GRANT OF \$25,000 TOWARD CLARIFYING ISSUES, AN INTERACTIVE SOURCE OF VOTER EDUCATION INFORMATION

PUBLIC CITIZEN FOUNDATION, INC.,  
*Washington, DC*

SIX-MONTH GRANT OF \$25,000 TOWARD ITS OUTREACH AND PUBLIC EDUCATION ON DISCLOSURE OF NONPROFIT ELECTIONEERING ORGANIZATIONS

PUERTO RICAN LEGAL DEFENSE AND EDUCATION FUND, INC., *New York, NY*

ONE-YEAR GRANT OF \$25,000 TOWARD ITS LEADERSHIP TRANSITION

TOMÁS RIVERA POLICY INSTITUTE,  
*Los Angeles, CA*

ONE-YEAR GRANT OF \$50,000 TOWARD A STUDY OF BEST PRACTICES AND POLICIES ON IMMIGRANT INTEGRATION IN NON-TRADITIONAL AREAS

ROCK THE VOTE EDUCATION FUND,  
*Los Angeles, CA*

ONE-YEAR GRANT OF \$50,000 TOWARD A CNN FORUM ON YOUTH AND VOTING

ROCKEFELLER FAMILY FUND, INC., *Metairie, LA*

ONE-YEAR GRANT OF \$2,000 AS MEMBERSHIP SUPPORT FOR THE GRANTS MANAGERS NETWORK

SAINT ANSELM COLLEGE, *Manchester, NH*

ONE-YEAR GRANT OF \$50,000 TOWARD A PILOT PROJECT THAT WILL PROVIDE VOTING-AGE HIGH SCHOOL AND COLLEGE STUDENTS WITH AN OPPORTUNITY TO RESEARCH ISSUES AND ASK QUESTIONS OF THE PRESIDENTIAL PRIMARY CANDIDATES

SYRACUSE UNIVERSITY, *Syracuse, NY*

TWENTY-MONTH GRANT OF \$25,000 FOR A STUDY ON THE ROLE OF LOCAL ORGANIZATIONS IN ENCOURAGING THE POLITICAL INCORPORATION OF IMMIGRANTS

SYRACUSE UNIVERSITY, *Syracuse, NY*

SIX-MONTH GRANT OF \$25,000 TOWARD ENHANCEMENT OF TRANSACTIONAL RECORD ACCESS CLEARINGHOUSE'S ONLINE FEDERAL INFORMATION DATABASE

THIRD SECTOR NEW ENGLAND, INC., *Boston, MA*

SIX-MONTH GRANT OF \$25,000 FOR RESEARCH ABOUT THE STATE AND VALUE OF THE NONPROFIT SECTOR INFRASTRUCTURE

TIDES CENTER, *San Francisco, CA*

ONE-YEAR GRANT OF \$25,000 TOWARD SUPPORT OF CAST THE VOTE

TIDES CENTER, *San Francisco, CA*

EIGHT-MONTH GRANT OF \$10,000 TOWARD A STUDY OF THE CAPACITY OF NATIONAL AND LOCAL ORGANIZATIONS TO IMPROVE U.S. CIVIC PARTICIPATION

VOLUNTEER CONSULTING GROUP, INC.,  
*New York, NY*

ELEVEN-MONTH GRANT OF \$25,000 TOWARD EXPANSION OF BOARDNETUSA, A WEB-BASED PROJECT TO MATCH TRUSTEES AND BOARD CANDIDATES WITH NONPROFIT ORGANIZATIONS

# Special Opportunities Fund

AMERICAN ASSEMBLY, *New York, NY*

ONE-TIME FUNDING TOWARD POLICY ANALYSIS, DIALOGUE AND DISSEMINATION ON REFORMING GLOBAL INSTITUTIONS. ONE YEAR, \$250,000.

Following World War II, a group of U.S. leaders created an array of foreign policy and international institutions to foster international stability and serve U.S. security and economic interests in a post-war world. These included the International Monetary Fund, the World Bank, the United Nations, the CIA, the National Security Council, GATT and NATO. More than half a century later, The American Assembly seeks to launch a non-partisan, multi-year, national initiative aimed at developing an institutional framework for these organizations appropriate for the present and future. The project entails a series of regional and national meetings across the country cosponsored by some of the nation's leading policy institutions, engaging both senior experts in foreign policy and emerging political, academic, professional and civic U.S. leaders. The American Assembly is a national, non-partisan public affairs forum that aims to illuminate issues of public policy by commissioning research and publications, sponsoring meetings and issuing reports, books and other literature.

ASPEN INSTITUTE, *Washington, DC*

INITIATIVE ON ETHICAL GLOBALIZATION. FOURTEEN MONTHS, \$200,000.

Many of the promised benefits of globalization have been offset by its effects on those unable to participate in the global economy or those who fall victim to its most damaging manifestations. Former United Nations High Commissioner for Human Rights and President of Ireland, Mary Robinson, has launched an initiative to promote a new notion of ethical globalization that involves a rights-based approach to a range of global challenges including trade inequities, HIV/AIDS in Africa and international migration. Combining policy research, public advocacy and interaction with governmental, intergovernmental and

corporate leaders, this initiative is designed to catalyze and promote new thinking on ways to forge a shared agenda for change connecting human rights, human development and human security.

BOSTON COLLEGE, *Chestnut Hill, MA*

PUBLIC EDUCATION PROJECT ON RELIGIOUS TOLERANCE IN AMERICA. TWO YEARS, \$119,900.

The Boisi Center for Religion and American Public Life at Boston College is producing materials to explain religious pluralism and the values of tolerance intrinsic to the liberal state. Alan Wolfe, a nationally respected public intellectual and expert on the intersection between American religion and politics, leads the center. With Corporation support, the Boisi Center is creating a variety of informational and pedagogical materials, including pamphlets, academic training and curricula, a web site and audio and video materials, which intend to explore American pluralism as a concept and historical narrative of struggle and success. Members of the project will examine the separation of church and state in the United States, focusing on the First Amendment, the accommodation of many religious traditions in American civil society and the political challenges such pluralism presents. The materials will be disseminated in the United States and internationally.

BOSTON UNIVERSITY, *Boston, MA*

SUPPORT OF THE AFRICAN PRESIDENTIAL ARCHIVES AND RESEARCH CENTER'S AMERICAN-AFRICAN UNIVERSITIES COLLABORATIVE. TWO YEARS, \$150,000.

The universities of Ghana, Dar es Salaam and Witwatersrand in South Africa, along with Morehouse College and Elizabeth City State University in North Carolina, are establishing a collaborative coordinated by Boston University's African Presidential Archives and Research Center. The collaborative is geared toward promoting the ideas of democracy, free-market reform and globalization through roundtables, videoconferences

and exchange programs, and aims to build on the experience of African business leaders and former democratically-elected African heads of state as it bring together policymakers, business leaders, faculty members and students to address issues important to Africa's democracy and socio-economic development.

BUSINESS-HIGHER EDUCATION FORUM,  
*Washington, DC*

ONE-TIME FUNDING TOWARD SUPPORT. ONE YEAR,  
\$250,000.

The Business-Higher Education Forum is a membership organization comprising 81 chief executive officers from the business, higher education, and philanthropic sectors. The forum invites collaboration and dialogue between business and education leaders on topics of mutual interest and concern through meetings, roundtable discussions and special projects that mobilize the resources of the members. Policy papers on such topics as higher education accountability and workplace skill development are produced. Operating as a unit within the American Council on Education since its founding in 1978, the forum recently established itself as an independent nonprofit organization in order to pursue a substantive agenda on issues of public importance. This grant supports the forum during its transition year.

CONSTITUTIONAL COURT TRUST, *Johannesburg, South Africa*

SUPPORT OF THE CONSTITUTIONAL COURT OF SOUTH AFRICA. SIXTEEN MONTHS, \$250,000.

April 27, 2004, was the 10th anniversary of the culmination of a struggle for freedom led by the African National Congress that resulted in a multi-racial, multi-party process by which all South Africans gained the right to elect their government. South Africa's constitution has become the cornerstone of its republic, and while existing judicial structures were retained following the transition to democracy, one crucial institution was added—the Constitutional Court, which stands at the head of the judicial branch. Also marked by 2004 was the 50th anniversary of the landmark U.S. Supreme

Court case of *Brown v. Board of Education of Topeka*, which declared racial segregation in U.S. public schools as unconstitutional. Given this confluence of events, a conference is to be convened at South Africa's Constitutional Court to review the impact of ten landmark decisions of courts in different countries that have opened up new pathways in legal thinking. The proceedings are to be published and widely disseminated to international audiences. Corporation funding is also supporting activities aimed at strengthening the Court.

CRIMES OF WAR EDUCATION PROJECT,  
*Washington, DC*

ONE-TIME GRANT TOWARD SUPPORT. ONE YEAR,  
\$100,000.

Launched in 1999, the Crimes of War Project (CWP) seeks to educate the media and the general public about the laws governing armed conflict. Through its educational activities, website and publications—including the flagship publication *Crimes of War: What the Public Should Know*, which has been translated into eleven languages and distributed widely around the world—the project provides an informed commentary about the laws of war. The large number of requests that CWP has received over the past year for training—many of which it has been unable to meet because of resource and staffing limitations—demonstrates that the international community, including the media, recognizes the importance of such knowledge. Building on the success of its initial efforts, CWP is now poised to expand its activities to help assure that the laws of war are both understood and implemented.

GRADUATE CENTER OF THE CITY UNIVERSITY OF NEW YORK, *New York, NY*

FINAL GRANT TOWARD DISSEMINATION OF THE UNITED NATIONS INTELLECTUAL HISTORY PROJECT. TWENTY-SEVEN MONTHS, \$150,100.

With initial Corporation support, the United Nations Intellectual History Project (UNIHP) began operations in mid-1999 at the Ralph Bunche Institute for International Studies, based at the Graduate Center of the City University of New



York. The project was primarily designed to review the ideas and concepts that have emerged from the United Nations over the last half-century. UNIHP comprises two main components: a series of books on specific topics, and oral history interviews. Five of the fourteen commissioned books will have been published and all seventy-three oral histories completed by the time the next phase of the project begins. Corporation funding is aimed at ensuring quality control and completion of the remaining commissioned volumes and, more importantly, the wide dissemination and discussion of UNIHP research findings.

HUMAN RIGHTS WATCH, INC., *New York, NY*

SUPPORT. ONE YEAR, \$150,000.

Human Rights Watch conducts timely research on human rights abuses worldwide and advocates for policy changes in over seventy countries. In the past year, Human Rights Watch addressed a range of human rights concerns, sending missions to assess human rights conditions in Afghanistan, the Democratic Republic of Congo, Iraq and the Sudan. The organization is also confronting a new set of human rights issues introduced by the United States' war on terror, the growth of religious fundamentalism, the increasing power of non-state actors and the affects of globalization on governmental authority, labor standards and migration flows.

JSTOR, *New York, NY*

ONE-TIME FUNDING TOWARD DIGITIZING AND DISSEMINATING SCHOLARLY JOURNALS FROM THE FIELD OF EDUCATION. TWO YEARS, \$100,000.

JSTOR (Journal Storage), founded in 1995, is dedicated to creating and maintaining a digital archive of academic literature and making it available to the research and scholarly community. JSTOR's database, which currently archives more than 400 scholarly journals, provides researchers with full text articles from a wide range of fields. With funding from the Spencer Foundation and the Corporation, the rights to digitize forty journals from the field of education, ranging from theory and curriculum

development to psychology and the teaching of art, will be obtained. The journals will be indexed and added to JSTOR's database. In 2003, more than 14 million articles were printed from the JSTOR database, and 27 million searches were performed on the collection. Nearly 2000 libraries all over the world subscribe.

NAACP LEGAL DEFENSE AND EDUCATIONAL FUND, INC., *New York, NY*

PUBLIC EDUCATION ACTIVITIES COMMEMORATING THE 50TH ANNIVERSARY OF THE 1954 SUPREME COURT DECISION BROWN V. BOARD OF EDUCATION. ONE YEAR, \$200,000.

On May 17, 2004, the nation will commemorate the 50th anniversary of the landmark Brown v. Board of Education Supreme Court decision, which outlawed racial segregation in public schools. The culmination of a decades-long battle by the NAACP Legal Defense and Educational Fund, Inc. (LDF) and the work of a legal team led by LDF's first Director-Counsel, Thurgood Marshall, Brown ranks as one of the nation's most important Supreme Court decisions. Brown heralded the beginning of the end of a legally condoned "separate but equal" nation. As counsel of record in Brown, the legal arm of the civil rights movement that blossomed in the decision's wake and a representative of students and parents in hundreds of cases in local, state and federal courts over the past fifty years, LDF will play a key leadership role in commemorating the anniversary. Accordingly, the fund is undertaking a series of public education activities that revisit the origins and meaning of Brown, and will also outline the challenges that lie ahead in fully realizing the promise of Brown to ensure educational equity for all children.

NEW SCHOOL UNIVERSITY, *New York, NY*

FINAL GRANT TOWARD A PROJECT TO ESTABLISH MEANINGFUL DIALOGUES BETWEEN MUSLIMS AND WESTERNERS AT ALL LEVELS OF SOCIETY. ONE YEAR, \$100,000.

Political commentators across the spectrum have been working to understand and explain the roots and background of Islamic political and social

movements. To provide a structured forum for a sustained discussion between individuals from various religious, intellectual, economic and political sectors of Islamic and Western societies, including the United States, New School University's World Policy Institute is organizing a series of dialogues aimed at promoting greater understanding of the dynamics of the Islamic-U.S.-West relationship.

NUCLEAR THREAT INITIATIVE INC.,  
*Washington, DC*

PUBLIC EDUCATION AND OUTREACH ON THE NEED TO SECURE NUCLEAR MATERIALS AND WEAPONS. ONE YEAR, \$375,000.

For individuals or groups involved in terrorist activities, the main obstacle to making a nuclear weapon is obtaining plutonium or highly enriched uranium, the essential ingredients of a nuclear bomb; unfortunately, there is no shortage of these materials. In Russia alone, the Cold War legacy of the Soviet Union left approximately 30,000 nuclear warheads and enough highly enriched uranium and plutonium to make 60,000 more, as well as tens of thousands of scientists with weapons expertise whose jobs are no longer assured. The Nuclear Threat Initiative, which aims to raise awareness of these issues, has developed a short film dramatizing the risks posed by unsecured nuclear weapons and materials. Corporation funds are supporting production and wide dissemination of the film to encourage public debate among governments, policymakers, the news media and the general public.

UNITED NATIONS, *New York, NY*

ONE-TIME FUNDING TOWARD ITS HIGH-LEVEL PANEL ON THREATS, CHALLENGES AND CHANGE. ONE YEAR, \$250,000.

In 2004, the foundations were shaken of collective security and confidence in the possibility of collective responses to the world's common problems and challenges. In response, the United Nations Secretary-General, Kofi Annan, has assembled a High-Level Panel on Threats, Challenges, and Change at the United Nations to recommend clear and practical measures for ensuring effective

collective action, based upon a rigorous analysis of future threats to peace and security, an appraisal of the contribution of collective action and an assessment of existing approaches, instruments and mechanisms, including the principal organs of the United Nations. The panel is charged with providing a new assessment of the likely global challenges ahead and to recommend the changes that will be required if these challenges are to be met effectively through collective action.

WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS, *Washington, DC*

FORUM FOR CONGRESSIONAL STAFF ON SOCIAL AND ECONOMIC ISSUES IN AFRICA. ONE YEAR, \$150,000.

Following wide and active consultations with Congress and advisory teams, the Woodrow Wilson International Center for Scholars is organizing training retreats and seminars on contemporary African politics, HIV/AIDS, Islam, globalization and trade, U.S. energy security, the war on terrorism, food security, conflict prevention and peacekeeping and post-conflict reconstruction, among other social and economic issues. Thirty to forty participants per annum will be selected by the Congressional Staff Forum on Africa, which serves the House and Senate leaderships, and members of Congressional Committees involved in foreign policy and aid appropriations. Lecturers and panelists will be drawn from the U.S., Africa and Europe, to include policymakers, academics, intelligence analysts, experts from international institutions and NGOs and journalists.

UNIVERSITY OF WISCONSIN FOUNDATION,  
*Madison, WI*

ONE-TIME FUNDING TOWARD THE DICTIONARY OF AMERICAN REGIONAL ENGLISH. ONE YEAR, \$100,000.

When completed, the five volume Dictionary of American Regional English will be the definitive record of the regional and folk language of the United States. It contains full documentation of geographical differences in words, phrases, pronunciations and grammatical structures of American English. It also records differences in

usage that reflect social factors, such as race, sex, age, community and education. The research is based on an extensive program of fieldwork carried out in 1,002 communities during 1965-70 and an equally extensive collection of written sources from more than three centuries of American history. The dictionary is unique in its national and historical scope. Four volumes have been published to date. This grant assists in completion of the dictionary's fifth volume (S-Z).

YALE UNIVERSITY, *New Haven, CT*

ONE-TIME FUNDING TOWARD THE PAPERS OF BENJAMIN FRANKLIN PROJECT. TWO YEARS, \$100,000.

The Papers of Benjamin Franklin Project is a collaborative undertaking by a team of scholars at Yale University to collect, edit and publish the writings and papers of one of America's founding fathers. Launched in 1954 under the joint auspices of Yale University and the American Philosophical Society, the project has produced thirty-seven volumes to date. Corporation funding supports the editing of volumes forty, forty-one and forty-two, as well as the publication of volume forty, which represents the culmination of Franklin's mission in France and the birth of the United States as a recognized nation, with the signing of the Treaty of Paris that ended the American Revolution.

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## Discretionary Grants

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AMERICAN ENTERPRISE INSTITUTE FOR PUBLIC POLICY RESEARCH, *Washington, DC*

ONE-YEAR GRANT OF \$25,000 TOWARD A JOINT PROJECT WITH THE BROOKINGS INSTITUTION TO FORM A BIPARTISAN COMMISSION TO CONSIDER WAYS TO ENSURE THE CONTINUITY OF GOVERNMENT AFTER A TERRORIST ATTACK

BARNARD COLLEGE, *New York, NY*

ONE-YEAR GRANT OF \$10,000 AS ONE-TIME GRANT TO DEFRAY TRAVEL COSTS TO GHANA TO RESEARCH LITERATURE FOR A NEW COURSE ON LITERATURE OF THE MIDDLE PASSAGE

CAMERA NEWS, INC., *New York, NY*

ONE-YEAR GRANT OF \$50,000 TOWARD DEVELOPMENT OF EDUCATIONAL OUTREACH MATERIALS ON RALPH JOHNSON BUNCHE

CARNEGIE INSTITUTION OF WASHINGTON, *Washington, DC*

FIVE-MONTH GRANT OF \$25,000 AS ONE-TIME FUNDING FOR A SYMPOSIUM ON DEVELOPMENTS IN BIOLOGY AND EVOLUTION IN HONOR OF MAXINE F. SINGER'S PRESIDENCY OF THE CARNEGIE INSTITUTION OF WASHINGTON

CENTER FOR THE STUDY OF THE PRESIDENCY, *Washington, DC*

FIVE-MONTH GRANT OF \$25,000 TOWARD A PROJECT TO IMPROVE GLOBAL COMMUNICATIONS ABOUT AMERICAN CULTURE, VALUES AND SYSTEM OF GOVERNANCE

CENTRAL EUROPEAN UNIVERSITY, *Budapest, Hungary*

SEVEN-MONTH GRANT OF \$25,000 TOWARD A SERIES OF TRANSATLANTIC DIALOGUES

ENDOWMENT OF THE UNITED STATES INSTITUTE OF PEACE, INCORPORATED, *Washington, DC*

FIVE-MONTH GRANT OF \$50,000 TOWARD PROGRAM DEVELOPMENT FOR THE CENTER FOR PEACE AND SECURITY EDUCATION

FIRELIGHT MEDIA, INC., *New York, NY*

SIX-MONTH GRANT OF \$50,000 TOWARD PUBLIC OUTREACH RELATED TO A DOCUMENTARY ON THE FIFTIETH ANNIVERSARY OF THE LANDMARK SUPREME COURT DECISION, BROWN V. BOARD OF EDUCATION

INSTITUTE FOR ADVANCED STUDY, *Princeton, NJ*

TWENTY-FIVE-MONTH GRANT OF \$25,000 TOWARD A WORKSHOP ON THE INFLUENCE OF GREEK POLITICAL THOUGHT ON ISLAM

THE INTERFAITH CENTER OF NEW YORK,  
*New York, NY*

ONE-YEAR GRANT OF \$25,000 TOWARD ITS CIVIC ENGAGEMENT PROGRAM IN NEW YORK CITY MUSLIM COMMUNITIES

INTERNATIONAL CENTER FOR TRANSITIONAL JUSTICE, *New York, NY*

SEVEN-MONTH GRANT OF \$50,000 TOWARD A WORKSHOP ON HUMAN RIGHTS VIOLATIONS IN THE DEMOCRATIC REPUBLIC OF CONGO

UNIVERSITY OF MARYLAND COLLEGE PARK FOUNDATION, INC., *College Park, MD*

ONE-YEAR GRANT OF \$25,000 TOWARD SUPPORT OF THE DEMOCRACY COLLABORATIVE'S INTERDEPENDENCE DAY CONFERENCE

MEM ASSOCIATES, INC., *New York, NY*

TWO-YEAR GRANT OF \$50,000 TOWARD A COMMUNICATIONS AND MARKETING STRATEGY FOR THE HEALTHY STEPS FOR YOUNG CHILDREN PROGRAM

PEOPLE AND STORIES - GENTE Y CUENTOS, INC.,  
*Trenton, NJ*

ONE-YEAR GRANT OF \$24,000 AS ONE-TIME FUNDING FOR THE EXPANSION OF A READING AND DISCUSSION PROGRAM DESIGNED TO PROVIDE ACCESS TO LITERATURE FOR ECONOMICALLY DISADVANTAGED YOUTH

PRINCETON UNIVERSITY, *Princeton, NJ*

ONE-YEAR GRANT OF \$50,000 TOWARD A SYMPOSIUM AND WORKSHOPS ON TEACHING ENGINEERING AS A LIBERAL ART

PAUL ROBESON FOUNDATION INC., *New York, NY*

ONE-YEAR GRANT OF \$25,000 TOWARD THE DEVELOPMENT AND DISSEMINATION OF PUBLIC EDUCATION MATERIALS ON PAUL ROBESON'S LEGACY

SPONSORS FOR EDUCATIONAL OPPORTUNITY, INC.,  
*New York, NY*

ONE-YEAR GRANT OF \$10,000 TOWARD AN INTERNSHIP PROGRAM FOR STUDENTS OF COLOR WITH A COMMITMENT TO PHILANTHROPY AND VOLUNTEERISM

TOYNBEE PRIZE FOUNDATION, INC.,  
*Newton Center, MA*

ONE-YEAR GRANT OF \$20,000 TOWARD AN INTERDISCIPLINARY CONFERENCE AND VOLUME OF ESSAYS ON NEW GLOBAL HISTORY

VITAL VOICES GLOBAL PARTNERSHIP,  
*Washington, DC*

ONE-YEAR GRANT OF \$50,000 TOWARD SUPPORT

WORKING PARTNERSHIPS USA, *San Jose, CA*

ONE-YEAR GRANT OF \$25,000 TOWARD A STUDY ON THE SOCIAL AND ECONOMIC PROBLEMS CREATED BY THE RISE OF VIRTUAL BUSINESS ENTERPRISES AND ASSOCIATED CHANGES IN EMPLOYMENT

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## September 11 Recovery

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9/11 PUBLIC DISCOURSE PROJECT, *Washington, DC*

ONE-YEAR GRANT OF \$200,000 TOWARD SUPPORT

ASIAN AMERICANS FOR EQUALITY, INC.,  
*New York, NY*

TEN-MONTH GRANT OF \$90,000 TOWARD PUBLIC  
EDUCATION AND OUTREACH AROUND A COMMUNITY-  
DRIVEN, COLLABORATIVE PLANNING PROJECT TO  
REVITALIZE CHINATOWN'S ECONOMY IN THE WAKE  
OF SEPTEMBER 11

BROOKLYN PUBLIC LIBRARY FOUNDATION, INC.,  
*Brooklyn, NY*

THREE-YEAR GRANT OF \$750,000 TOWARD SUPPORT

DISTRICT OF COLUMBIA COLLEGE ACCESS  
PROGRAM, *Washington, DC*

ONE-YEAR GRANT OF \$1,000,000 TOWARD SUPPORT

NEW VISIONS FOR PUBLIC SCHOOLS, INC.,  
*New York, NY*

SIXTEEN-MONTH GRANT OF \$400,000 TOWARD  
DEVELOPMENT OF A PROFESSIONAL LIBRARY FOR  
TEACHERS AND ADMINISTRATORS

NEW YORK PUBLIC LIBRARY, *New York, NY*

THREE-YEAR GRANT OF \$3,000,000 TOWARD THE  
EMERGENCY CAMPAIGN

QUEENS LIBRARY FOUNDATION, INC., *Jamaica, NY*

THREE-YEAR GRANT OF \$750,000 TOWARD SUPPORT

# Carnegie Scholars

60

LARRY BARTELS, *Princeton University*

TWENTY-SIX-MONTH GRANT OF \$100,000 FOR A RESEARCH PROJECT ENTITLED "PROMOTING PUBLIC UNDERSTANDING OF THE AMERICAN ELECTORAL PROCESS"

BILL BERKELEY, *Columbia University*

ONE-YEAR GRANT OF \$100,000 FOR A RESEARCH PROJECT ENTITLED "THE IRAN HOSTAGE CRISIS: A RECONSIDERATION"

HARRY BRIGHOUSE, *University of Wisconsin, Madison*

TWENTY-MONTH GRANT OF \$87,000 FOR A RESEARCH PROJECT ENTITLED "JUSTICE IN EDUCATION: PRINCIPLES AND INSTITUTIONAL REFORM"

CHRISTOPHER CAPOZZOLA, *Massachusetts Institute of Technology*

FOURTEEN-MONTH GRANT OF \$93,000 FOR A RESEARCH PROJECT ENTITLED "UNCLE SAM WANTS YOU: POLITICAL OBLIGATIONS IN WORLD WAR I AMERICA"

ADEED DAWISHA, *Miami University (of Ohio)*

SIXTEEN-MONTH GRANT OF \$99,906 FOR A RESEARCH PROJECT ENTITLED "THE RESUSCITATION OF IRAQI DEMOCRACY"

OONA HATHAWAY, *Yale Law School*

TWENTY-TWO-MONTH GRANT OF \$100,000 FOR A RESEARCH PROJECT ENTITLED "BETWEEN POWER AND PRINCIPLE: A POLITICAL THEORY OF INTERNATIONAL LAW"

MICHAEL KIMMEL, *SUNY, Stony Brook*

TWO-YEAR GRANT OF \$99,079 FOR A RESEARCH PROJECT ENTITLED "GLOBALIZATION AND ITS MAL(E)CONTENTS: THE GENDERED MORAL AND POLITICAL ECONOMY OF THE EXTREME RIGHT"

MICHAEL MANDELBAUM, *Johns Hopkins University*

ONE-YEAR GRANT OF \$100,000 FOR A RESEARCH PROJECT ENTITLED "AMERICA THE HEGEMON: THE UNITED STATES IN THE WORLD OF THE TWENTY-FIRST CENTURY"

ROBERT A. PAPE, *University of Chicago*

TWO-YEAR GRANT OF \$100,000 FOR A RESEARCH PROJECT ENTITLED "THE STRATEGIC LOGIC OF SUICIDE TERRORISM"

CHARLES PAYNE, *Duke University*

TWO-YEAR GRANT OF \$82,650 FOR A RESEARCH PROJECT ENTITLED "SCHOOL REFORM IN INTERNATIONAL PERSPECTIVE"

RICHARD PILDES, *New York University Law School*

TWO-YEAR GRANT OF \$98,000 FOR A RESEARCH PROJECT ENTITLED "THE CONSTITUTIONALIZATION OF DEMOCRATIC POLITICS"

GUSTAV RANIS, *Yale University*

TWO-YEAR GRANT OF \$99,790 FOR A RESEARCH PROJECT ENTITLED "THE RELATIONSHIP BETWEEN ECONOMIC GROWTH AND HUMAN DEVELOPMENT"

SEAN REARDON, *Pennsylvania State University*

ONE-YEAR GRANT OF \$100,000 FOR A RESEARCH  
PROJECT ENTITLED "HISPANIC STUDENTS'  
ACHIEVEMENT IN THE ELEMENTARY GRADES: EFFECTS  
OF IMMIGRATION STATUS, ENGLISH PROFICIENCY, AND  
LANGUAGE POLICY"

DOUGLAS REED, *Georgetown University*

TWO-YEAR GRANT OF \$100,000 FOR A RESEARCH  
PROJECT ENTITLED "LOCAL CONTROL AND FEDERAL  
REFORM: THE POLITICS OF IMPLEMENTING NO CHILD  
LEFT BEHIND"

ELIZABETH SHERWOOD-RANDALL, *Stanford  
University*

ONE-YEAR GRANT OF \$100,000 FOR A RESEARCH  
PROJECT ENTITLED "TRANSFORMING TRANSATLANTIC  
RELATIONS: A NEW AGENDA FOR A NEW ERA"

# Dissemination

Over the past year, the Corporation's Dissemination Program underwrote a variety of media projects that give focus to Carnegie Corporation's mission and goals and, in anticipation of the 2004 general election, attempted to bring attention to crucial issues on the national agenda.

Three Carnegie Forums highlighted some of these issues. In January, Senator John McCain (R-AZ) gave the keynote address at the Carnegie Forum on Money and Politics, which focused on campaign finance reform and publicly-funded campaigns. Joining Senator McCain for a panel discussion were Charles Kolb, President of the Committee for Economic Development; Chellie Pingree, President of Common Cause, and Trevor Potter, General Counsel for The Reform Institute.

During the summer, the Forum on Income and Inequality introduced the results of a study of income inequality in the United States and the social impact of polarized inequity. The study, funded in collaboration by the Russell Sage Foundation and Carnegie Corporation, was begun in 2000 and involved teams of social scientists at leading universities. Representing these teams at the forum were Eric Wanner, President of the Russell Sage Foundation, Larry Bartels, Woodrow Wilson School of Public and International Affairs at Princeton University, and Barbara Wolfe, Institute of Poverty Research at the University of Wisconsin.

In September, media coverage of foreign policy and how it affects the national debate was discussed at the Forum on Media and Foreign Policy: How the Debate is Shaped. Tom Brokaw, anchor and managing editor of *NBC Nightly News*, served as moderator. Guest panelists were Richard Cohen, columnist for *The Washington Post*, Jim Hoge, editor of *Foreign Affairs*, and Cynthia Tucker, editorial page editor for *The Atlanta Journal-Constitution*.

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## Corporation Special Initiatives

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FIRELIGHT MEDIA/*SCHOOLS FOR A NEW SOCIETY* (\$315,000)

A new documentary, *Schools for a New Society*, records the progress of the five-year initiative by the same name. The film focuses on three of the cities participating in the program, Sacramento, Chattanooga and Boston, highlights changes to local high schools at the midway point of the *Schools for a New Society* program and takes the parent, teacher or policymaker inside these re-designed high schools.

UNITED NATIONS DEVELOPMENT PROGRAMME/*BETWEEN PERIL AND PROMISES* (UNDP) (\$100,000)

This 30-minute film documentary follows women in Uganda, Tanzania and South Africa whose lives have been transformed by scholarship and education programs targeting women's higher education, including the Strengthening African Universities program, a collaboration between the Corporation and the Ford, MacArthur and Rockefeller foundations.

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## Outreach Initiatives

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ACTIVE VOICE/*FARMINGVILLE* OUTREACH (\$25,000)

*Farmingville* is an award-winning documentary about the effect U.S. immigration policy has on a small Long Island community. A Dissemination Award produced a community toolkit that was used in a national series of discussions about the film, enhancing the goals of the Corporation's program in Strengthening U.S. Democracy to help new communities integrate immigrant populations.

ALLAFRICA FOUNDATION (\$8,000)

The AllAfrica Foundation operates one of the Internet's largest content sites, offering multilingual news and digital networks that connect groups working on common issues throughout the African continent.



This Dissemination Award supported production of a multimedia series about the opportunities and challenges South Africa faces in its second decade of democratic governance.

*BOSTON REVIEW* (\$50,000)

The editors of *Boston Review*, like the Corporation, are interested in ideas that inform public policy, and have been instrumental in publishing the work of Carnegie Scholars. This Award supported *Boston Review's* proposal to build relationships with other media organizations as it builds circulation and to enhance *Boston Review's* web site.

FOREIGN POLICY ASSOCIATION (FPA) (\$25,000)

The FPA's popular Great Decisions world affairs educational program is the centerpiece of a project to raise awareness of international issues in America. The Corporation funded a one-day training seminar for new Great Decisions coordinators, who now promote the program in communities around the country.

TEACHERS COLLEGE OF COLUMBIA UNIVERSITY/  
HECHINGER INSTITUTE (\$5,000)

Prior to the 2004 presidential election, the Hechinger Institute held a one-day seminar for political journalists that focused on education matters likely to surface during the campaign, with the goal of informing and enhancing election coverage of critical education issues.

WORLD AFFAIRS COUNCILS OF AMERICA (WACA)  
(\$25,000)

WACA received a planning grant to coordinate a series of 2005 national conversations using the Corporation-funded documentary about space weaponization, *Arming the Heavens*, and a related Carnegie Challenge Paper called *The Weaponization of Space: Divided Viewpoints, Uncertain Directions*.

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## Journalism and Media Projects

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AMERICA ABROAD MEDIA (AAM) (\$65,000)

AAM Radio produces in-depth programs on international issues using seasoned journalists such as Garrick Utley, Marvin Kalb and Margaret Warner. A Dissemination Award funded three one-hour programs on Iran, Afghanistan and Pakistan, as well as a dissemination campaign to broaden awareness of this new hourly program among public radio outlets and international affairs departments in colleges and universities.

CARNEGIE CORPORATION'S JOURNALISM  
INITIATIVE (\$12,000)

Carnegie Corporation has held a series of meetings with deans of America's top journalism schools to discuss how journalism education can improve the quality of journalism. At the most recent meeting, deans conferred about how journalism schools can work cooperatively and separately to elevate journalism education within the university and reporting standards and ethics within the profession.

CENTER FOR SCIENCE AND THE MEDIA/  
SCIENCENTRAL (\$50,000)

ScienCentral produces expert television news reports on science-related educational issues that are picked up by ABC, NBC and other broadcasters. This Award supported six stories based on Corporation education foci, such as teenage literacy, teacher training and urban school reform. The reports aired on local stations in up to 20 states with an audience of about 1 million viewers per broadcast.

COMMUNITY TELEVISION FOUNDATION OF SOUTH  
FLORIDA/NIGHTLY BUSINESS REPORT (\$35,000)

*The Nightly Business Report* produced a five-part series on South Africa's transition to democracy during the first ten years after the end of apartheid. The project included an outreach component that distributed videotapes of the entire series to targeted high school teachers nationwide. A companion web site provides additional information and learning resources for teachers, students and parents.

CRIMES OF WAR PROJECT (CWP) (\$30,000)  
The Crimes of War Project is an online resource for journalists looking for information and guidance on war reporters' responsibilities in documenting humanitarian and war crimes. This Dissemination Media Award produced a series of articles on the interlocking wars being waged in sub-Saharan Africa and the consequences these conflicts have on efforts to stabilize the region.

EDUCATIONAL BROADCASTING CORPORATION/  
*THE OPEN MIND* (\$25,000)  
*The Open Mind* is a venerable program that for almost 50 years has featured interviews with world leaders, politicians, writers and others conducted by the series' only moderator, Richard Heffner. This Dissemination Award supported production costs for programs focusing on issues central to the Corporation's grantmaking.

EDUCATIONAL BROADCASTING CORPORATION/  
*WIDE ANGLE* (\$75,000)  
*Wide Angle*, a PBS documentary series that explores critical international issues, received a Dissemination Award toward program development for its third season and pre-production of two documentaries focusing on issues germane to Corporation grantmaking in Africa and Russia.

EDUCATIONAL TELEVISION ENDOWMENT FOR  
SOUTH CAROLINA/HEDRICK SMITH PRODUCTIONS  
(\$52,000)  
To augment a Corporation grant toward *Schools that Work*, a PBS documentary about public school reform in America, this Award provided funding for a companion web site for the program that will ensure school leaders and policymakers can learn from the broadcast and its findings.

GREATER WASHINGTON EDUCATIONAL  
TELECOMMUNICATION ASSOCIATION (GWETA)/  
*THE NEWS* (\$35,000)  
GWETA and MacNeil/Lehrer Productions are developing a ten-minute daily news program that will be available for viewing in middle and high school classrooms. This Dissemination Award supported the development of outreach activities,

such as focus groups to vet programming content, as well as consultations with journalists, educational experts and other strategic partners.

GREATER WASHINGTON EDUCATIONAL  
TELECOMMUNICATION ASSOCIATION (GWETA)/  
*THE NEWSHOUR WITH JIM LEHRER* (\$50,000)  
This Dissemination Award, issued to encourage deeper analysis of international news on *The NewsHour*, will enable *NewsHour* reporters to cover stories in Iran and Iraq and to better understand the concomitant issues arising from contemporary political developments in the Middle East.

JOHNS HOPKINS UNIVERSITY/INTERNATIONAL  
JOURNALISM PROGRAM  
The International Journalism Program (IJP) trains American journalists to do a better job of providing the public with in-depth coverage of global issues. This Award supported a program, called *America Through The Eyes of Islam*, which took U.S. national editors to Lebanon and Syria for intensive training in international affairs.

LEARNING MATTERS/THE MERROW REPORT  
(\$50,000)  
John Merrow is a frequent contributor of education news stories to *The NewsHour with Jim Lehrer*. This Award provided support toward a series of reports on education and education policy issues strategic to the Corporation's education program goals.

LONG ISLAND EDUCATIONAL TELEVISION COUNCIL  
(WLIW21)/BBC WORLD NEWS (\$25,000)  
WLIW21, Long Island's public television conduit, transmits the *BBC World News* to public television stations across the United States. Carnegie Corporation provided a final Award toward licensing and transmittal fees while the station looks for new commercial funders.

MMB MEDIA/YOUTH AND NEWS STUDY  
(\$85,000)  
In connection with the Corporation's grantmaking for journalism education, a survey was conducted among 18-to-34-year-olds to measure their current news sources and viewing patterns. The survey

data will be used to assess new trends about how and where young adults access news, informing the discussions underway by leading journalism school deans about improving journalism education. A report produced by Merrill Brown, journalist and news media executive, was widely disseminated.

MOVING IMAGE/OUTREACH PLANNING FOR  
*DEMOCRACY ON DEADLINE* (\$25,000)

Lumiere Productions, with its partner, Roundtable, is preparing an outreach campaign around a four-part documentary, *Deadline for Democracy: The Global Struggle for an Independent Press*, scheduled for broadcast on public television. This Dissemination Award provided seed money for the public engagement strategy.

OBJECTIVE REALITY FOUNDATION/INTERFOTO  
2004 (\$7,000)

A Dissemination Award supported advance work and preparations for Interfoto's 2004 Annual Festival of Professional Photography, which was held in Moscow. The festival included educational activities and a photograph exhibit of professional photographers' depictions of social, cultural and political changes in Russia since the end of the Soviet era.

RADIO AND TELEVISION NEWS DIRECTORS  
FOUNDATION (RTNDF) (\$15,000)

The *Journalist's Guide to Covering Bioterrorism* was produced by RTNDF shortly after 9/11 as an informational piece for news media about crisis communications and bioterrorism. Since then, demand for the *Guide* has exceeded supply. This year's Award enabled the report to be updated and reprinted.

UNIVERSITY OF MARYLAND FOUNDATION/  
*AMERICAN JOURNALISM REVIEW* (\$25,000)

*The American Journalism Review* conducted a study on the qualitative differences in news reporting practiced by for-profit and non-commercial news media. Results of the research, which also focused on the impact financial pressures impose on news content, appeared in the October/November 2004 issue of the magazine.

WGBH/*FRONTLINE*/*WORLD FELLOWS PROGRAM*  
(\$75,000)

*Frontline/World* partners with journalism schools at Columbia University, Northwestern University and the University of California at Berkeley to provide outstanding students the opportunity of contributing to *Frontline/World's* program content and of working side-by-side with the program's writers, producers and directors. A Dissemination Award provided stipends for students selected for the project whose work appeared on the *Frontline/World* web site.

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## Strategic Communications

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CENTER FOR DEFENSE INFORMATION/AZIMUTH  
MEDIA/OUTREACH FOR *ARMING THE HEAVENS*  
(\$10,000)

*Arming the Heavens*, a documentary about space weaponization, produced with funding from a 2003 Dissemination Award, and a new companion brochure were distributed nationwide to high school Advanced Placement teachers in relevant subject areas as well as to college and university instructors in departments such as Peace and Conflict Studies, Nuclear Arms and Control, International Relations and World Politics and Foreign Policy.

EDUCATION WRITERS ASSOCIATION (EWA)  
(\$20,000)

Dissemination funding provided partial scholarships for the EWA annual meeting to education reporters who may have been unable to attend otherwise.

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## Technical Assistance to Grantees

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### APCO AFRICA/ESTABLISHMENT OF AFRICAN UNIVERSITY COMMUNICATORS NETWORK (\$119,000)

African universities receiving Corporation funding are creating a communications system that will inform the public about each university's accomplishments and make university administrative operations more transparent. The 2004 Carnegie Corporation conference brought together leaders from these institutions to form the African University Communicators Network, a successful online association that is being used by university communications administrators to learn new strategies, access technical information and communicate with each other and the Corporation.

### HARTNICK CONSULTING/WEB TUTORING FOR GRANTEES (\$16,000)

After Corporation grantees receive strategic communications training, they are invited to submit proposals for improving their web communications. Those whose proposals are selected receive one-on-one consultations from an expert on nonprofit communications.

### INTERNATIONAL WOMEN'S MEDIA FOUNDATION (IWMF) (\$10,000)

IWMF is broadening the reach of its American and African web sites, which offer web-based resources and journalism training programs, by establishing web links with national and international media associations. The project includes a monitoring system that provides feedback on which links are driving new visitors to the IWMF site.

### JUSTICE AT STAKE (\$10,000)

Justice at Stake received a capacity-building Dissemination Award to launch a seminal report, *The New Politics of Judicial Elections*, about the rising influence of special interests on judicial elections and the efforts underway to advance public financing of these elections. U.S. Senator John McCain (R-AZ) participated in the event at which the report was announced.

### SCHOOLS FOR A NEW SOCIETY COMMUNICATIONS SEMINAR (\$35,000)

For the first time, representatives from the seven cities participating in the Education Division's Schools for a New Society initiative convened in Washington, D.C., for communications training, message collaboration and media development. The workshop was held under the auspices of the Communications Consortium Media Center and Widmeyer Communications.

# Anonymous \$15 Million in Grants to Cultural and Social Service Institutions in New York City

52ND STREET PROJECT, INC., \$50,000

651 ARTS, \$25,000

AARON DAVIS HALL, INC., \$100,000

ACADEMY OF AMERICAN POETS, INC., \$10,000

ALIANZA DOMINICANA INC., \$75,000

ALLEY POND ENVIRONMENTAL CENTER, INC.,  
\$25,000

ALLIANCE FOR THE ARTS, INC., \$100,000

ALLIANCE OF RESIDENT THEATRES/NEW YORK,  
\$100,000

AMERICAN FOLK ART MUSEUM, \$75,000

AMERICAN MUSEUM OF THE MOVING IMAGE,  
\$100,000

AMERICAN MUSIC CENTER, INC., \$100,000

AMERICAN PLACE THEATRE, INC., \$25,000

AMIGOS DEL MUSEO DEL BARRIO, \$100,000

ANTHOLOGY FILM ARCHIVES, \$25,000

ART IN GENERAL, INC., \$25,000

ARTHUR AVILES TYPICAL THEATRE INC., \$10,000

ARTISTS SPACE, INC., \$25,000

ARTS CONNECTION, \$100,000

ASIAN AMERICAN ARTS ALLIANCE, \$25,000

ASPIRA OF NEW YORK, INC., \$50,000

ATLANTIC THEATER COMPANY, \$50,000

BALLET HISPANICO OF NEW YORK, \$100,000

BALLET TECH FOUNDATION, INC., \$50,000

BARGEMUSIC LTD., \$75,000

BEDFORD STUYVESANT RESTORATION  
CORPORATION, \$25,000

BIG BROTHERS AND BIG SISTERS OF NEW YORK  
CITY INC., \$50,000

BILLIE HOLIDAY THEATRE INCORPORATED,  
\$25,000

BLOOMINGDALE SCHOOL OF MUSIC INC., \$10,000

BOROUGH OF MANHATTAN COMMUNITY COLLEGE  
PERFORMING ARTS CENTER, INC., \$50,000

BOYS & GIRLS HARBOR, INC., \$75,000

BOYS CHOIR OF HARLEM, INC., \$25,000

BROADWAY HOUSING COMMUNITIES INC., \$75,000

BRONX ARTS ENSEMBLE, INC., \$25,000

BRONX COUNCIL ON THE ARTS, INC., \$75,000

BRONX COUNTY HISTORICAL SOCIETY, \$25,000

BRONX MUSEUM OF THE ARTS, \$75,000

BRONX RIVER ART CENTER, INC., \$25,000

BROOKLYN ACADEMY OF MUSIC, INC., \$50,000

BROOKLYN ARTS COUNCIL, INC., \$75,000

BROOKLYN BOTANIC GARDEN CORP., \$100,000

BROOKLYN CHILDREN'S MUSEUM, \$50,000	CHECKERBOARD FOUNDATION, INC., \$10,000
BROOKLYN CONSERVATORY OF MUSIC, \$50,000	CHILDREN'S HEALTH FUND, \$25,000
BROOKLYN HISTORICAL SOCIETY, \$50,000	CHILDREN'S MUSEUM OF MANHATTAN, \$75,000
BROOKLYN INFORMATION & CULTURE, INC., \$25,000	CHILDREN'S MUSEUM OF THE ARTS, INC., \$25,000
BROOKLYN PHILHARMONIC SYMPHONY ORCHESTRA, INC., \$100,000	CHINESE AMERICAN ARTS COUNCIL INC., \$10,000
BROOKLYN USA ATHLETIC ASSOCIATION, INC., \$25,000	CHINESE AMERICAN PLANNING COUNCIL INC., \$25,000
BROOKLYN YOUTH CHORUS ACADEMY INC., \$50,000	CHRISTIAN HERALD ASSOCIATION, INC. DBA THE BOWERY MISSION, \$50,000
CAREER GEAR INC., \$25,000	CITIZENS FOR NYC, INC., \$100,000
CASITA MARIA, INC., \$25,000	CITY CENTER 55TH STREET THEATER FOUNDATION, INC., \$100,000
CENTER FOR ALTERNATIVE SENTENCING AND EMPLOYMENT SERVICES INC., \$100,000	CITY HARVEST, INC., \$100,000
CENTER FOR ARTS EDUCATION INC., \$100,000	CITY LORE, INC., \$25,000
CENTER FOR COURT INNOVATION/FUND FOR THE CITY OF NEW YORK, \$100,000	CITY YEAR NEW YORK, \$50,000
CENTER FOR EMPLOYMENT OPPORTUNITIES, INC., \$50,000	COLLEGE OF STATEN ISLAND FOUNDATION, INC., \$25,000
CENTER FOR FAMILY LIFE IN SUNSET PARK, \$50,000	COMMITTEE FOR HISPANIC CHILDREN AND FAMILIES, INC., \$25,000
CENTER FOR JEWISH HISTORY INC., \$25,000	COMMON GROUND COMMUNITY HOUSING DEVELOPMENT FUND, \$25,000
CENTER FOR TRADITIONAL MUSIC AND DANCE, INC., \$50,000	COMMUNITY HEALTH PROJECT INC., \$50,000
CENTER FOR URBAN COMMUNITY SERVICES, INC., \$50,000	COMMUNITY PRESERVATION CORPORATION, \$100,000
CENTRO CIVICO COLOMBIANO INC., \$25,000	COMMUNITY SERVICE SOCIETY OF NEW YORK, \$50,000
CHAMBER MUSIC AMERICA, INC., \$50,000	COOL CULTURE INC., \$10,000

CORPORATION FOR SUPPORTIVE HOUSING,  
\$50,000

COUNCIL OF JEWISH EMIGRE COMMUNITY  
ORGANIZATIONS, INC., \$25,000

COUNCIL ON THE ARTS & HUMANITIES FOR  
STATEN ISLAND, \$75,000

CREATIVE TIME, INC., \$50,000

DANCE THEATER WORKSHOP, INC., \$100,000

DANCE THEATRE OF HARLEM, INC., \$100,000

DANCE USA, \$25,000

DANCEWAVE, INC., \$25,000

DANCING IN THE STREETS, INC., \$25,000

DANSPACE PROJECT, INC., \$25,000

DIA CENTER FOR THE ARTS, INC., \$50,000

DIXON PLACE, \$25,000

DOING ART TOGETHER INC., \$10,000

DOMINICAN WOMEN'S DEVELOPMENT CENTER,  
\$25,000

DOWNTOWN COMMUNITY TELEVISION CENTER  
INC., \$10,000

DRESS FOR SUCCESS, \$25,000

DWA FANM, \$25,000

EAST HARLEM TUTORIAL PROGRAM, INC., \$50,000

EAST SIDE HOUSE SETTLEMENT, \$25,000

EL PUENTE DE WILLIAMSBURG INC., \$25,000

ELDERS SHARE THE ARTS, \$10,000

EN FOCO, \$10,000

ENSEMBLE STUDIO THEATRE, INC., \$50,000

EXIT ART - THE FIRST WORLD INC., \$10,000

EXPLORING THE METROPOLIS, INC., \$10,000

FILM/VIDEO ARTS, INC., \$50,000

FIND AID FOR THE AGED, INC., \$25,000

FLEA THEATRE, \$25,000

FLUSHING COUNCIL ON CULTURE AND THE ARTS,  
INC., \$75,000

FOOD BANK FOR NEW YORK CITY, \$50,000

FOREST HILLS COMMUNITY HOUSE, INC., \$25,000

FORTUNE SOCIETY, \$100,000

FOUNTAIN HOUSE, INC., \$75,000

FRESH AIR FUND, \$75,000

FRIENDS OF MATERIALS FOR THE ARTS, \$10,000

GATEWAY SYMPHONY OF STATEN ISLAND, INC.,  
\$25,000

GAY MEN'S HEALTH CRISIS INC., \$100,000

GHETTO FILM SCHOOL INC., \$10,000

GILDA'S CLUB NEW YORK CITY INC., \$25,000

GIRLS INCORPORATED OF NEW YORK CITY,  
\$50,000

GOD'S LOVE WE DELIVER, INC., \$100,000

GOOD SHEPHERD SERVICES, \$100,000

GRAND STREET SETTLEMENT, INC., \$25,000

HAITIAN CENTERS COUNCIL INC., \$25,000

HALE HOUSE FOUNDATION, INC., \$25,000

HARLEM CHILDREN'S ZONE, INC., \$100,000

HARLEM DOWLING WESTSIDE CENTER FOR  
CHILDREN AND FAMILY SERVICES, \$100,000

HARLEM EDUCATIONAL ACTIVITIES FUND, INC.,  
\$50,000

HARLEM SCHOOL OF THE ARTS, \$75,000

HARLEM TEXTILE WORKS, \$25,000

HERE, \$50,000

HERITAGE HEALTH AND HOUSING, INC., \$75,000

HETRICK-MARTIN INSTITUTE, INC., \$25,000

HIGH 5 TICKETS TO THE ARTS, INC., \$50,000

HIGHBRIDGE VOICES, \$10,000

HISTORIC HOUSE TRUST OF NEW YORK CITY,  
INC., \$50,000

HOLY APOSTLES SOUP KITCHEN, \$25,000

HOMECREST COMMUNITY SERVICES, INC.,  
\$25,000

HORIZON CONCERTS INC., \$25,000

HOSPITAL AUDIENCES, INC., \$50,000

HOSTOS COMMUNITY FOR THE ARTS AND  
CULTURE, \$50,000

HOUSING WORKS INC., \$50,000

H.T. DANCE COMPANY, INC., \$25,000

INMOTION, INC., \$25,000



INTERNATIONAL PRINT CENTER NEW YORK,  
\$25,000

INWOOD HOUSE, \$25,000

IRISH REPERTORY THEATRE COMPANY, INC.,  
\$50,000

ISAMU NOGUCHI FOUNDATION AND GARDEN  
MUSEUM, INC., \$50,000

JACQUES MARCHAIS CENTER OF TIBETAN ART,  
\$25,000

JAMAICA CENTER FOR ARTS AND LEARNING, INC.,  
\$75,000

JOHN A. NOBLE COLLECTION, \$25,000

JOHN HEUSS HOUSE, \$25,000

JOSÉ LIMÓN DANCE FOUNDATION, \$50,000

JOYCE THEATER FOUNDATION, INC., \$100,000

KING MANOR ASSOCIATION OF LONG ISLAND,  
INC., \$25,000

KOREAN AMERICAN FAMILY SERVICE CENTER,  
INC., \$25,000

LA MAMA EXPERIMENTAL THEATRE CLUB, INC.,  
\$75,000

LEARNING LEADERS, INC., \$25,000

LEHMAN COLLEGE CENTER FOR THE PERFORMING  
ARTS, \$25,000

MUSEUM OF JEWISH HERITAGE - LIVING  
MEMORIAL TO THE HOLOCAUST, \$100,000

LOUIS ARMSTRONG HOUSE & ARCHIVES, \$25,000

LOWER EAST SIDE PRINTSHOP, INC., \$25,000

LOWER EAST SIDE TENEMENT MUSEUM, \$50,000

LOWER MANHATTAN CULTURAL COUNCIL, INC.,  
\$75,000

MABOU MINES DEVELOPMENT FOUNDATION,  
INC., \$25,000

MANHATTAN CLASS COMPANY, INC., \$10,000

MANHATTAN THEATER CLUB, INC., \$50,000

MARK MORRIS DANCE GROUP, \$75,000

MARTHA GRAHAM CENTER OF CONTEMPORARY  
DANCE, INC., \$75,000

MA-YI FILIPINO THEATRE ENSEMBLE INC.,  
\$10,000

MEET THE COMPOSER, INC., \$25,000

MENTORING PARTNERSHIP OF NEW YORK,  
\$50,000

MIDORI FOUNDATION, INC., \$10,000

MIND-BUILDERS CREATIVE ARTS CO., INC.,  
\$25,000

MONTEFIORE MEDICAL CENTER, \$25,000

MUNICIPAL ART SOCIETY OF NEW YORK, \$25,000

MUSEUM FOR AFRICAN ART, \$75,000

MUSEUM OF ARTS AND DESIGN, \$75,000

MUSEUM OF CHINESE IN THE AMERICAS, \$25,000

MUSEUM OF THE CITY OF NEW YORK, \$100,000

MUSIC OUTREACH - LEARNING THROUGH MUSIC,  
INC., \$25,000

NATIONAL CENTER FOR DISABILITY SERVICES,  
\$50,000

NATIONAL CHORAL COUNCIL, INC., \$25,000

- NATIONAL DANCE INSTITUTE, INC., \$75,000
- NEGRO ENSEMBLE COMPANY, INC., \$10,000
- NEW 42ND STREET, INC. / NEW VICTORY THEATER, \$100,000
- NEW ALTERNATIVES FOR CHILDREN, INC., \$25,000
- NEW DRAMATISTS, INC., \$10,000
- NEW FEDERAL THEATRE, \$25,000
- NEW MUSEUM OF CONTEMPORARY ART, \$100,000
- NEW YORK CARES, INC., \$50,000
- NEW YORK CHINESE CULTURAL CENTER, INC., \$25,000
- NEW YORK CITY MISSION SOCIETY, \$75,000
- NEW YORK CITY OUTWARD BOUND CENTER, INC., \$25,000
- NEW YORK CITY RESCUE MISSION, \$25,000
- NEW YORK FOUNDATION FOR THE ARTS, INC., \$100,000
- NEW YORK HALL OF SCIENCE, \$100,000
- NEW YORK HISTORICAL SOCIETY, \$75,000
- NEW YORK SHAKESPEARE FESTIVAL, \$50,000
- NEW YORK STUDIO SCHOOL OF DRAWING PAINTING & SCULPTURE, INC., \$25,000
- NEW YORK THEATRE WORKSHOP, \$10,000
- NEW YORK URBAN LEAGUE, INC., \$50,000
- NEW YORK WOMEN'S FOUNDATION, \$75,000
- NEW YORK YOUTH SYMPHONY, INC., \$25,000
- NEW YORKERS FOR CHILDREN INC., \$25,000
- NORTHSIDE CENTER FOR CHILD DEVELOPMENT, INC., \$50,000
- NUYORICAN POETS CAFE, INC., \$25,000
- ONTOLOGICAL-HYSTERIC THEATER, INC., \$25,000
- OPUS 118 MUSIC CENTER, \$10,000
- ORPHEON, INC./THE LITTLE ORCHESTRA SOCIETY, \$50,000
- ORPHEUS CHAMBER ORCHESTRA, INC., \$75,000
- P.S.1 CONTEMPORARY ART CENTER, INC., \$100,000
- PAN ASIAN REPERTORY THEATRE, INC., \$50,000
- PAPER BAG PLAYERS, INC., \$50,000
- PARTNERSHIP FOR THE HOMELESS INC., \$50,000
- PARTNERSHIP WITH CHILDREN, INC., \$25,000
- PAUL TAYLOR DANCE FOUNDATION, \$75,000
- PEARL THEATRE COMPANY, INC., \$25,000
- PERFORMANCE SPACE 122, INC., \$75,000
- PHIPPS COMMUNITY DEVELOPMENT CORPORATION, \$100,000
- PHOENIX HOUSE DEVELOPMENT FUND, INC., \$100,000
- PLAYWRIGHTS HORIZONS, INC., \$100,000
- POETS & WRITERS, INC., \$100,000
- POETS HOUSE, INC., \$50,000
- POINT COMMUNITY DEVELOPMENT CORP., \$25,000

POLISH & SLAVIC CENTER, INC., \$25,000

POSSE FOUNDATION, \$25,000

PREGONES TOURING PUERTO RICAN THEATRE  
COLLECTION, INC., \$50,000

PROJECT HOSPITALITY INC., \$50,000

PUBLIC ART FUND, INC., \$50,000

PUBLICOLOR, INC., \$25,000

PUPPIES BEHIND BARS INC., \$25,000

QUEENS BOTANICAL GARDEN SOCIETY, INC.,  
\$100,000

QUEENS COLLEGE FOUNDATION, INC., \$75,000

QUEENS COUNCIL ON THE ARTS, INC., \$75,000

QUEENS COUNTY FARM MUSEUM, \$25,000

QUEENS MUSEUM OF ART, \$100,000

QUEENS SYMPHONY ORCHESTRA, INC., \$75,000

QUEENS THEATRE IN THE PARK, INC., \$100,000

RACHEL'S PLACE, \$25,000

RINGSIDE, INC., \$25,000

RIVERDALE COMMUNITY CENTER, INC., \$25,000

ROOM TO GROW, \$25,000

SAKHI FOR SOUTH ASIAN WOMEN, \$25,000

SAMARITAN FOUNDATION, INC., \$75,000

SANCTUARY FOR FAMILIES, INC., \$50,000

SANDY GROUND HISTORICAL SOCIETY INC.,  
\$10,000

SARATOGA INTERNATIONAL THEATER INSTITUTE,  
INC., \$25,000

SCAN NEW YORK VOLUNTEER PARENT-AIDES  
ASSOCIATION, \$50,000

SELFHHELP COMMUNITY SERVICES, INC., \$100,000

SESAME FLYERS INTERNATIONAL INC., \$25,000

SHAKESPEARE PROJECT, INC., \$25,000

SIGNATURE THEATRE COMPANY, INC., \$50,000

SNUG HARBOR CULTURAL CENTER, INC.,  
\$100,000

SOCIETY FOR THE PRESERVATION OF WEEKSVILLE  
AND BEDFORD-STUYVESANT HISTORY, \$75,000

SOCRATES SCULPTURE PARK, INC., \$50,000

SOHO REPERTORY THEATRE, INC., \$50,000

SOUTH ASIAN YOUTH ACTION SAYA INC., \$25,000

SPANISH THEATRE REPERTORY LTD., \$100,000

ST. ANN CENTER FOR RESTORATION AND THE  
ARTS, INC., \$25,000

ST. FRANCIS FRIENDS OF THE POOR INC., \$75,000

ST. LUKE'S CHAMBER ENSEMBLE, \$50,000

ST. RITA'S CENTER FOR IMMIGRANTS & REFUGEE  
SERVICES, \$25,000

STANLEY M. ISAACS NEIGHBORHOOD CENTER,  
\$25,000

STARFISH THEATREWORKS INC., \$25,000

STATEN ISLAND BOTANICAL GARDEN, INC.,  
\$100,000

STATEN ISLAND CHILDREN'S MUSEUM, \$100,000

- STATEN ISLAND HISTORICAL SOCIETY, \$75,000
- STATEN ISLAND INSTITUTE OF ARTS AND SCIENCES, \$75,000
- STATEN ISLAND ZOOLOGICAL SOCIETY, INC., \$100,000
- STUDIO IN A SCHOOL ASSOCIATION, \$100,000
- STUDIO MUSEUM IN HARLEM, INC., \$100,000
- SYMPHONY SPACE, \$100,000
- TADA! THEATER AND DANCE ALLIANCE, INC., \$75,000
- TARGET MARGIN THEATER, INC., \$25,000
- TEACHERS AND WRITERS COLLABORATIVE, \$75,000
- THALIA SPANISH THEATRE, INC., \$25,000
- THEATER BY THE BLIND, \$10,000
- THEATER FOR THE NEW CITY, \$50,000
- THEATRE FOR A NEW AUDIENCE, INC., \$75,000
- THIRD STREET MUSIC SCHOOL SETTLEMENT, INC., \$100,000
- TOWN HALL FOUNDATION, INC., \$75,000
- TRIBECA FILM INSTITUTE, \$25,000
- TRIPLE CANDIE INC., \$10,000
- TRISHA BROWN DANCE COMPANY, INC., \$75,000
- UNION SETTLEMENT ASSOCIATION, \$25,000
- UNITED ACTIVITIES UNLIMITED, INC., \$25,000
- UNIVERSITY SETTLEMENT SOCIETY OF NEW YORK, \$25,000
- URBANGLOSS/NEW YORK CONTEMPORARY GLASS CENTER, INC., \$25,000
- VERA INSTITUTE OF JUSTICE, INC., \$100,000
- VERITAS THERAPEUTIC COMMUNITY FOUNDATION, INC., \$50,000
- VILLAGE CARE OF NEW YORK, INC., \$50,000
- VINEYARD THEATRE AND WORKSHOP CENTER, INC., \$50,000
- WAVE HILL, INC., \$50,000
- WEST END INTERGENERATIONAL RESIDENCE, HDFC, INC., \$25,000
- WOMEN IN NEED, INC., \$75,000
- WOMEN'S HOUSING AND ECONOMIC DEVELOPMENT CORPORATION, \$50,000
- WOMEN'S PROJECT AND PRODUCTIONS, INC., \$50,000
- WOOSTER GROUP, INC., \$50,000
- WORLD MUSIC INSTITUTE, INC., \$75,000
- YMCA OF GREATER NEW YORK, \$75,000
- YORKVILLE COMMON PANTRY, \$25,000
- YOUNG AUDIENCES/NEW YORK, INC., \$100,000
- YOUNG PLAYWRIGHTS, INC., \$25,000





2004 Report on Finances

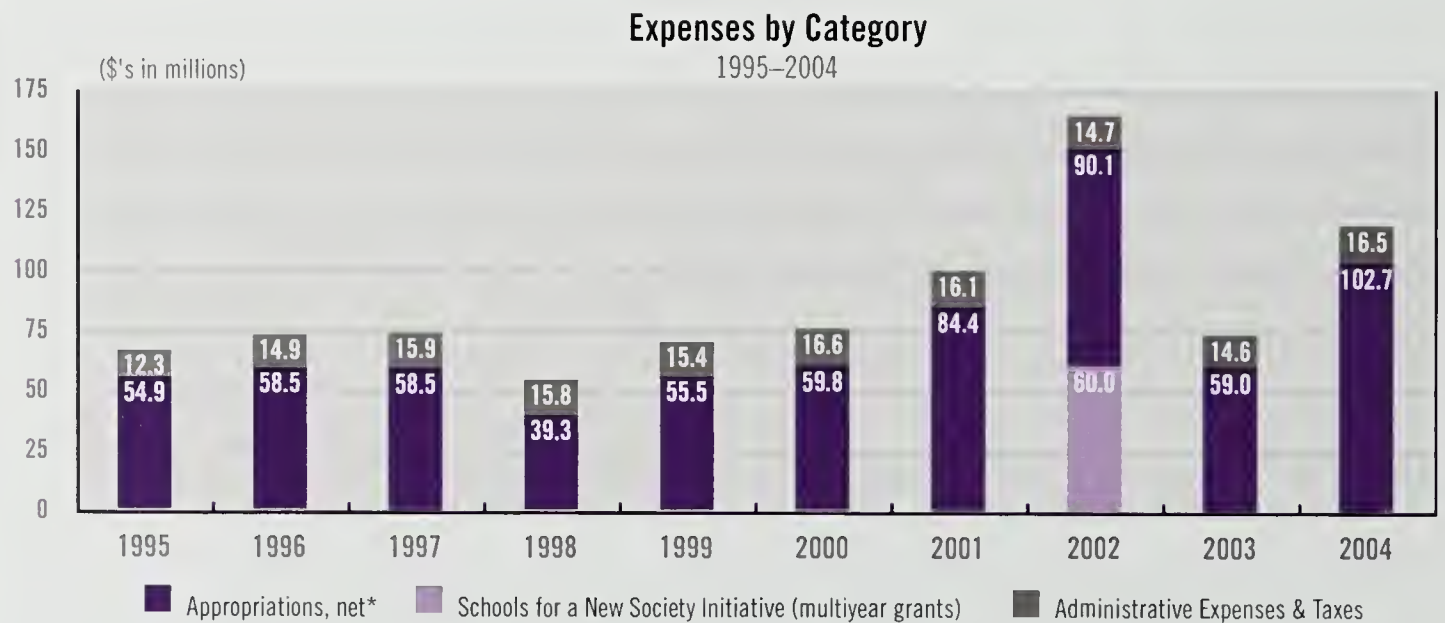
## Financial Highlights

### Appropriations and Expenses

For the ten years ended September 30, 2004, the Corporation awarded 3,154 grants totaling \$723 million and incurred expenses of \$128.5 million for direct charitable activities and

administration expenses, excluding investment expenses, and \$24.3 million for taxes, for a total of \$875.8 million.

The graph below illustrates the growth in expenses by category over the ten-year period ended September 30, 2004.



\*Fiscal year 2004 includes \$0.7 million in technical assistance and evaluation services associated with the School for a New Society Initiative.



Each year the trustees appropriate funds to be used for grants and for projects administered by the officers. Many of the grants involve multiyear commitments. In the fiscal year ended September 30, 2004, 54 percent of the appropriated funds were paid within the fiscal year. Appropriations, net of refunds and cancellations, totaled \$102.7 million, compared to \$59 million in the preceding year. The increase in appropriations for 2004 is largely attributable to the fact that major grants associated with the Teachers for a New Era initiative and for support of African universities were deferred from 2003 and awarded in 2004.

Program management and direct charitable activities expenses were \$10.7 million in the fiscal year ended September 30, 2004, compared with \$10.3 million in the previous fiscal

year. Included in these amounts are direct charitable activities of \$2.8 million in 2004 and \$2.6 million in 2003. Direct charitable activities are services provided directly to other exempt organizations, governmental bodies, and the general public. Such services include providing technical assistance to grantees and potential grantees, conducting educational conferences and research, publishing and disseminating educational materials, and serving on boards of other charitable organizations or public commissions.

General administration expenses were \$3.2 million in 2004 and \$2.9 million in 2003.

The schedule below breaks down total expenses, excluding appropriations and taxes, into categories for the year ended September 30, 2004.

79

	Program management and direct charitable activities	Investment	General administration	Total
Salaries	\$ 4,750,667	\$ 998,694	\$ 1,527,776	\$ 7,277,137
Investment advisory and custody fees	—	4,005,776	—	4,005,776
Employee benefits	1,969,455	237,116	603,035	2,809,606
Rent	1,023,081	250,242	516,676	1,789,999
Publications	831,932	—	—	831,932
Travel	617,162	75,347	13,195	705,704
Office expenses	391,597	92,384	176,846	660,827
Legal and accounting services	51,000	231,084	163,187	445,271
Consultants	395,572	—	28,500	424,072
Conferences and meetings	186,447	5,376	21,401	213,224
Computer equipment and services	133,382	28,756	43,553	205,691
Amortization and depreciation	98,432	—	49,710	148,142
Trustees' honoraria and expenses	70,521	—	23,027	93,548
Other	201,242	29,850	63,460	294,552
<b>TOTAL</b>	<b>\$ 10,720,490</b>	<b>\$ 5,954,625</b>	<b>\$ 3,230,366</b>	<b>\$ 19,905,481*</b>

\* In FY2003, total expenses, excluding appropriations and taxes, were \$18.3 million, which included \$5.2 million of investment expenses.

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## Taxes

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Under the provisions of the Tax Reform Act of 1969, Carnegie Corporation as a private foundation is subject to a federal excise tax of 2 percent on income and realized capital gains. However, under the Tax Reform Act of 1984, the rate is reduced to 1 percent if the foundation maintains its average expense rate of the previous five years and, in addition, spends the tax savings. The Corporation met the requirements for the reduced tax rate in both 2004 and 2003. Excise tax expense for FY2004 was \$1.6 million. During 2004, the Corporation had unrelated business income of \$2.6 million from certain investment partnership activities. Taxes of \$.9 million on this income are calculated using applicable corporate tax rates. Deferred tax liability represents the potential tax (at 2 percent) on gains as yet unrealized as well as a book to tax timing difference.

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## Audit by Independent Accountants

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The bylaws provide that the Corporation's accounts are to be audited each year by an independent public accountant. Accordingly, the firm of KPMG LLP audited the Corporation's financial statements as of and for the year ended September 30, 2004. The Corporation's financial statements, together with the independent auditors' report, appear on the following pages.

# Independent Auditors' Report

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The Board of Trustees  
Carnegie Corporation of New York:

We have audited the accompanying balance sheets of Carnegie Corporation of New York as of September 30, 2004 and 2003, and the related statements of changes in net assets and cash flows for the years then ended. These financial statements are the responsibility of the Corporation's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Carnegie Corporation of New York as of September 30, 2004 and 2003, and the changes in its net assets and its cash flows for the years then ended in conformity with accounting principles generally accepted in the United States of America.

**KPMG LLP**

New York, New York

December 10, 2004

# Balance Sheets

as of September 30, 2004 and 2003

	2004	2003
<b>Assets</b>		
Cash	\$ 29,667	\$ 178,528
Investments - note 3	1,955,180,413	1,823,041,443
Refundable taxes - note 5	172,235	392,495
Prepaid expenses and other assets	58,675	67,343
Fixed assets - note 4	582,888	635,123
Total assets	<u>\$ 1,956,023,878</u>	<u>\$ 1,824,314,932</u>
<b>Liabilities and net assets</b>		
Liabilities		
Grants payable	\$ 84,785,493	\$ 82,995,081
Accounts payable and other liabilities	3,011,492	3,436,414
Deferred taxes payable – note 5	4,478,175	3,277,513
Total liabilities	<u>92,275,160</u>	<u>89,709,008</u>
Net assets		
Unrestricted	1,728,411,850	1,599,269,056
Permanently restricted	135,336,868	135,336,868
Total net assets	<u>1,863,748,718</u>	<u>1,734,605,924</u>
Total liabilities and net assets	<u>\$ 1,956,023,878</u>	<u>\$ 1,824,314,932</u>

See accompanying notes to financial statements.

# Statements of Changes in Net Assets

for the years ended September 30, 2004 and 2003

	2004	2003
<b>Changes in unrestricted net assets</b>		
Revenues		
Investment income		
Interest and dividends	\$ 25,721,816	\$ 23,702,209
Income from partnerships, net	55,567,335	29,726,662
Net realized gain on investment transactions	101,264,221	8,240,996
Total realized investment income	182,553,372	61,669,867
Less investment expenses paid directly	(5,954,625)	(5,195,229)
Net realized investment income	176,598,747	56,474,638
Contributions	15,167,849	10,000,000
Fees for technical assistance and evaluation services	—	1,000,000
Total unrestricted revenues	191,766,596	67,474,638
Expenses		
Grant appropriations	96,823,168	54,835,721
Appropriations for projects administered by officers	5,162,846	4,125,833
Technical assistance and evaluation services	712,136	—
Program management and direct charitable activities	10,720,490	10,254,453
General administration	3,230,366	2,884,656
Provision for taxes - note 5	2,548,739	1,507,559
Total expenses	119,197,745	73,608,222
Excess (deficiency) of unrestricted revenues over expenses	72,568,851	(6,133,584)
Increase in unrealized appreciation of investments, net of related deferred federal excise tax of \$1,154,571 in 2004 and \$3,010,976 in 2003 - note 5	56,573,943	241,049,206
Increase in unrestricted net assets	129,142,794	234,915,622
<b>Changes in temporarily restricted net assets</b>		
Grant returned	—	(15,636,000)
Decrease in temporarily restricted net assets	—	(15,636,000)
Increase in net assets	129,142,794	219,279,622
Net assets, beginning of year	1,734,605,924	1,515,326,302
<b>Net assets, end of year</b>	<b>\$ 1,863,748,718</b>	<b>\$ 1,734,605,924</b>

# Statements of Cash Flows

for the years ended September 30, 2004 and 2003

	2004	2003
<b>Cash flows from operating activities</b>		
Increase in net assets	\$ 129,142,794	\$ 219,279,622
Adjustments to reconcile increase in net assets to net cash used in operating activities		
Increase in unrealized appreciation of investments	(57,728,514)	(244,060,182)
Net realized gain on investment transactions	(101,264,221)	(8,240,996)
Depreciation and amortization	148,142	157,964
Change in deferred taxes payable	1,200,662	3,277,513
Total adjustments	(157,643,931)	(248,865,701)
Change in refundable taxes, grants receivable, prepaid expenses and other assets	228,928	16,183,192
Change in grants payable and accounts payable and other liabilities	1,365,490	(25,975,727)
Net cash used in operating activities	(26,906,719)	(39,378,614)
<b>Cash flows from investing activities</b>		
Proceeds from sales or redemptions of investments	1,070,857,352	879,679,340
Purchases of investments	(1,044,003,587)	(839,750,865)
Purchases of fixed assets	(95,907)	(390,689)
Net cash provided by investing activities	26,757,858	39,537,786
<b>Change in cash</b>	(148,861)	159,172
Cash, beginning of year	178,528	19,356
<b>Cash, end of year</b>	<u>\$ 29,667</u>	<u>\$ 178,528</u>

See accompanying notes to financial statements.

# Notes to Financial Statements

September 30, 2004 and 2003

## (1) ORGANIZATION:

Carnegie Corporation of New York (the Corporation) is a philanthropic grantmaking foundation that was created by Andrew Carnegie in 1911 to promote the advancement and diffusion of knowledge and understanding. The Corporation has a policy of selecting a few areas at a time in which to concentrate its grants. The Corporation is exempt from federal income taxes under Section 501(c)(3) of the Internal Revenue Code.

## (2) SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES:

The accompanying financial statements have been prepared on the accrual basis of accounting.

Fixed assets are stated at cost. Depreciation is calculated on a straight-line basis over the estimated useful lives of the related assets ranging from five to ten years. Leasehold improvements are amortized over the remaining life of the lease.

Grant appropriations, including multi-year grants, are recorded as an expense and a payable when grants are approved and communicated to the grantees.

For purposes of the statements of cash flows, cash includes all cash held in bank accounts at September 30, 2004 and 2003.

The resources of the Corporation consist of permanently restricted, temporarily restricted and unrestricted net assets. Permanently restricted net assets represent the original sums received from Andrew Carnegie who, by the terms of the conveying instrument, stipulated that the principal may never be expended. Unrestricted net assets are not subject to donor-imposed restrictions. Contributions, including unconditional promises to give, are recognized as revenues in the period received.

On October 2, 2001, the Corporation was awarded a \$25,000,000 multi-year grant by another private foundation to support urban high school reform through the Corporation's Schools for a New Society initiative. The entire \$25,000,000 was recorded as grant income in fiscal year 2002 with \$15,636,000 as temporarily restricted. In fiscal year 2003, the Corporation and the other private foundation mutually agreed to amend the grant agreement whereby the Corporation would serve as the fiscal agent for the benefit of specified school districts participating in the initiative (\$12,636,000) and provide technical assistance and evaluation services to said districts (\$3,000,000). In the accompanying financial statements, \$1,000,000 was recorded as accounts payable and other liabilities in 2004 and \$1,000,000 as revenue in 2003 for fees for technical assistance and evaluation services.

The fair value of investments has been determined as indicated in note 3. The carrying amounts of the Corporation's other financial instruments approximate fair value because of their short maturity.

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect

# Notes to Financial Statements

September 30, 2004 and 2003

the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

### (3) INVESTMENTS:

Readily marketable investments are reported at fair value on the basis of quoted market prices. Limited partnerships and similar interests are reported at fair value based on financial statements and other information received from the partnerships. The general partner determines the fair value of securities using quoted market prices, if available, or using other valuation methods, including independent appraisals. Investments in limited partnerships and similar interests totaled \$1,263,100,948 at September 30, 2004 and \$1,045,756,978 at September 30, 2003.

Investments are composed of the following at September 30, 2004 and 2003:

	2004		2003	
	Cost	Fair Value	Cost	Fair Value
Equities	\$ 685,418,145	\$ 800,730,576	\$ 669,594,749	\$ 748,915,114
Fixed income	299,105,260	299,695,917	292,509,453	297,618,883
Real estate	170,659,146	203,938,527	165,956,094	191,238,770
Absolute return	397,440,981	455,846,476	348,347,693	391,577,729
Private equity	196,805,833	197,506,308	191,503,902	189,111,750
Due to/from brokers, net	(2,526,254)	(2,537,391)	4,580,764	4,579,197
<b>Total</b>	<b>\$ 1,746,903,111</b>	<b>\$ 1,955,180,413</b>	<b>\$ 1,672,492,655</b>	<b>\$ 1,823,041,443</b>

Included in the table above is accrued investment income of \$2,103,760 and \$1,956,673 at September 30, 2004 and 2003, respectively.

At September 30, 2004, the Corporation had unfunded commitments of approximately \$285 million in various limited partnership investments.

As a result of its investing strategies, the Corporation is a party to index futures contracts. The Corporation's fixed income investment manager uses treasury index futures contracts to manage the duration of the fixed income portfolio. Changes in the market value of these futures contracts are recognized currently in the statements of changes in net assets, using the marked-to-market method. However, index futures contracts involve, to varying degrees, elements of market risk and credit risk in excess of the amounts recorded on the balance sheets. Market risk represents the potential loss the Corporation faces due to the decrease in the value of the financial instruments in



# Notes to Financial Statements

September 30, 2004 and 2003

the table below. Credit risk represents the potential loss the Corporation faces due to the inability of counterparties to meet the terms of their contracts.

The table below summarizes the long and short exchange-traded financial futures positions at September 30, 2004 and 2003:

	2004		2003	
	Net number of contracts-long/(short)	Contract Value (in \$ millions)	Net number of contracts-long/(short)	Contract Value (in \$ millions)
Index future contracts				
30-year Treasury bond	64	7.2	99	11.1
10-year Treasury note	154	17.3	222	25.4
5-year Treasury note	(219)	(24.3)	(285)	(32.3)
2-year Treasury note	10	2.1	10	2.2

The margin requirements on deposit with third-party safekeeping banks for index futures contracts were approximately \$.4 million at September 30, 2004 and \$.8 million at September 30, 2003.

The partnerships in which the Corporation invests may also hold index futures and options. These positions are not included in the table above.

The Corporation permits its investment managers to use forward foreign exchange contracts to manage the currency risk inherent in owning securities denominated in foreign currencies. In a forward foreign currency transaction, the Corporation agrees to exchange one currency for another on an agreed-upon date at an agreed-upon exchange rate. At September 30, 2004 and 2003, the Corporation held forward currency buy contracts with notional amounts totaling \$4.1 million and \$4.2 million, respectively. Such contracts involve, to varying degrees, risks of loss arising either from the potential change in market prices or from the possible inability of counterparties to meet the terms of their contracts. Forward foreign currency contracts are carried in the balance sheets at market value. Changes in the value of forward foreign currency contracts are recognized as increases or decreases in unrealized appreciation or depreciation until such contracts are closed.

The Corporation's investment advisors monitor the financial condition of the firms used for futures and forward foreign currency trading in order to minimize the risk of loss. Exposure limits are placed on firms relative to their credit worthiness. Management does not anticipate that losses, if any, resulting from credit or market risk would have a material adverse effect on the financial statements.

# Notes to Financial Statements

September 30, 2004 and 2003

## (4) FIXED ASSETS:

Fixed assets are composed of the following at September 30, 2004 and 2003:

	2004	2003
Leasehold improvements	\$ 4,148,526	\$ 4,148,526
Furniture and equipment	3,485,651	3,389,744
	7,634,177	7,538,270
Less accumulated depreciation and amortization	(7,051,289)	(6,903,147)
<b>Total</b>	<b>\$ 582,888</b>	<b>\$ 635,123</b>

## (5) TAXES:

The Corporation is liable for federal excise taxes of two percent of its net investment income, as defined, which includes realized capital gains, for the year. However, this tax is reduced to one percent if certain conditions are met. The Corporation met the requirements for the reduced tax in 2004 and 2003. Therefore, current taxes are estimated at one percent of net investment income, as defined.

Deferred taxes represent two percent of unrealized appreciation of investments at September 30, 2004 and 2003, as qualification for the one percent tax is not determinable until the fiscal year in which gains are realized.

During 2004 and 2003, the Corporation had unrelated business income of \$2,625,700 and \$2,446,600, respectively, from certain investment partnership activities. Federal and state taxes of \$973,800 in 2004 and \$971,200 in 2003 on this income are calculated using applicable corporate tax rates and are included in the provision for taxes.

The Corporation paid estimated federal excise taxes of \$1,475,000 in 2004 and \$625,000 in 2003. The Corporation also paid estimated federal and state unrelated business income taxes of \$969,000 in 2004 and \$798,000 in 2003.

## (6) BENEFIT PLANS:

The Corporation purchases annuities for qualifying employees under the terms of a noncontributory, defined contribution retirement plan with Teachers Insurance and Annuity Association and College Retirement Equities Fund. Retirement plan expense for the years ended September 30, 2004 and 2003 was \$1,013,350 and \$979,300, respectively.

In addition, the Corporation has a noncontributory defined benefit annuity plan to supplement the basic plan described above. This plan is also administered by Teachers Insurance and Annuity

# Notes to Financial Statements

September 30, 2004 and 2003

Association and College Retirement Equities Fund. Contributions to this plan are based on actuarial calculations. No contribution was required in 2004 or 2003. At December 31, 2003, the assets of the plan exceeded the actuarial present value of accumulated plan benefits by approximately \$1,056,400.

In addition, the Corporation provides certain medical benefits to its retirees. The cost of providing these benefits was \$172,200 in 2004 and \$147,100 in 2003, on a pay-as-you-go basis.

(7) LEASES:

The Corporation occupies office space at 437 Madison Avenue under a lease agreement expiring December 31, 2013.

The following is a schedule of the future minimum lease payments at September 30, 2004.

Fiscal year ending September 30	Amount
2005	\$ 1,604,000
2006	1,604,000
2007	1,604,000
2008	1,627,000
2009	1,693,000
2010-2014	7,197,000
<b>Total</b>	<b>\$ 15,329,000</b>

Rental expense for 2004 and 2003, including escalations, was \$1,745,100 and \$1,580,200, respectively.



2004 Report on Administration

## Fiscal 2004: The Year in Review

The Corporation conducts itself in a manner consistent with high ethical standards and best practices, valuing above all respect for all persons, transparency for its actions and responsibility for its decisions and the resulting consequences. To strengthen these key values, the Corporation, long guided by a code of ethics, in 2004 formalized the code and established an annual review by all Corporation officers, staff and trustees. The code of ethics further reinforces the Corporation's commitment to treating grantees and staff members with fairness, avoiding conflicts of interest and promoting responsibility, transparency and accountability within the Corporation and throughout the philanthropic community.

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### Board and Committees

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At the February 5, 2004, board meeting, Marta Tienda retired from the board and received a minute of appreciation from the board, which expressed "profound appreciation for your eight years of service, which included participating in the work of the planning and finance committee and the committee on

trustees, as well as helping to steer the foundation through a presidential transition and into a new century." The trustees also thanked Ms. Tienda for "giving generously of your time, insight and experience."

The president announced at the February 5, 2004, board meeting, that, due to pressing obligations, Ruth Simmons would not seek re-election for a second term on the board at this time. The minute of appreciation from the

board noted that a “lifelong commitment to academic excellence, along with your passion for helping create an American nation that celebrates its diversity and affords equal rights and access to all, has provided the board and the staff of the Corporation with unique insights and informed guidance that have been invaluable in shaping its programs and future directions.”

Fiona Druckenmiller and Richard W. Riley were elected to four-year terms as trustees, beginning April 8, 2004. Fiona Druckenmiller serves as a trustee on a number of boards, including the Spence School and the American Museum of Natural History. She has done a great deal of work in human rights, serving on the boards of Human Rights Watch and Adopt A Minefield. Richard W. Riley is a former governor of South Carolina, and served as U.S. Secretary of Education under President Clinton for eight years. He is a senior partner at Nelson Mullins Riley & Scarborough, LLP.

Annual elections were held at the February 5, 2004, board meeting. The trustees elected Helene L. Kaplan as chairman and Martin Leibowitz as vice chairman. Bruce Alberts, Geoffrey Boisi, James Hunt, and William Owens were re-elected to second four-year terms.

The board elected members to serve on various committees for fiscal year 2004. The Corporation’s four standing committees were constituted as follows: Elected to serve on the planning and finance committee were Martin Leibowitz, Olara Otunnu and Raymond Smith, who was elected chair by the committee members. Elected to serve on the audit committee were Martin Leibowitz, James Hunt, Raymond Smith and Geoffrey Boisi, who was elected chair by the committee members. Elected to the committee on trustees were

Bruce Alberts, James Hunt, William Owens and Olara Otunnu, who was elected chair by the committee members. Elected to the investment management committee were Geoffrey Boisi, Raymond Smith and Martin Leibowitz, who was elected chair by committee members. When elected to the board on April 8, 2004, Fiona Druckenmiller joined the investment management committee.

The board also elected members to four program subcommittees. Elected to the education subcommittee were Bruce Alberts, Thomas Pickering and Raymond Smith. Elected to the international development subcommittee were Bruce Alberts, Geoffrey Boisi, Martin Leibowitz, Olara Otunnu, William Owens and Thomas Pickering. Elected to the international peace and security subcommittee were James Hunt, Martin Leibowitz, Sam Nunn, Olara Otunnu and William Owens. Elected to the Strengthening U.S. Democracy program and Special Opportunities Fund subcommittee were Geoffrey Boisi, James Hunt, Sam Nunn and Raymond Smith. Richard W. Riley, when elected, became a member of the program subcommittees on Education and Strengthening U.S. Democracy.

Both Helene L. Kaplan, chairman of the board, and Vartan Gregorian, president of the Corporation, serve *ex officio* on all standing committees. Membership on the ad hoc committee on compensation includes the chairman of the board, Helene L. Kaplan, vice chairman of the board, Martin Leibowitz, and chair of the planning and finance committee, Raymond Smith.

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## Board Actions

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At the October 9, 2003, board meeting, the proposed audit plan for fiscal year 2003-04 was discussed and accepted.

At the board meeting on February 5, 2004, the trustees resolved to accept a gift of \$15 million from an individual who wished to remain anonymous. The trustees authorized the president to appropriate those funds in a manner consistent with the Corporation's mission and the donor's general intent. The grants supported small- and medium-sized arts and cultural institutions and, for the first time, social service providers throughout New York City.

The board rescinded the Section 457(f) Deferred Compensation Plan as established by board resolution on October 10, 2002. The board also resolved to amend the minimum distribution requirements for the 401(a) Pension Plan and 403(b) Pension Plan.

At the April 8, 2004, board meeting, the board formally set forth a code of ethics that sets standards for ethical conduct and decision-making by Corporation trustees, officers and staff members. The code of ethics promotes fairness and respect for grantees and staff members, accountability, integrity and transparency. The board also instituted a whistleblower policy for the Corporation that encourages Corporation staff to report any deviations from best practices, including questionable legal or regulatory issues, retaliatory acts, harassment or other suspected violations of the code of ethics.

At the September 30, 2004, board meeting, the trustees resolved to change the board meeting schedule from meeting in February, April, June and October to

meeting in March, June, September and December. The annual meeting, which was previously held in February, has been moved to December. The new schedule took effect in September 2004.

The board also passed a resolution to allow the Corporation to expend up to 7.4 percent of its income from general funds, including interest, dividends and net realized gains from investments, toward its Commonwealth Program.

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## Milestones

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During fiscal year 2004, there were a number of staff changes as the Corporation recognized professional growth with promotions, expressed appreciation to departing staff members and welcomed new people to the foundation.

In fiscal year 2004, joining the Corporation were K. Niles Bryant, investment associate; Sa'uda K. Dunlap, administrative assistant for the International Development Program; Erika Espinal, staff assistant for the finance and investment offices; Veronica M. Garwood, executive assistant for the Strengthening U.S. Democracy program; Patricia Pagnotta, executive assistant for Public Affairs; and Theresa Welch, administrative assistant for the office of the president.

The Corporation bid farewell to Molly McLaughlin, administrative assistant, Strengthening U.S. Democracy, and Sharon Zaks, administrative assistant, International Development.

In 2004, David C. Speedie was promoted from chair, International Peace and Security, to director, initiative on Islam and special advisor to the president. Deana Arsenian, senior



program officer, was promoted to chair of the International Peace and Security program. Meredith Jenkins, formerly senior investment associate, was promoted to director of private equity.



# 2005 Report on Program

## GRANTS AND DISSEMINATION AWARDS

*Education*

*International Development*

*International Peace and Security*

*Strengthening U.S. Democracy*

*Special Opportunities Fund*

*Initiatives Fund*

*Carnegie Scholars*

*Dissemination*

*Anonymous \$20 Million in Grants to Cultural and  
Social Service Institutions in New York City*

## Key Programs Meet the Challenges of Maturity in 2005

**“This is a period, indeed, that calls loudly for such qualities as alertness, vision, imagination, open-mindedness, flexibility, a capacity to learn new things and think new thoughts, and a willingness to take risks.”**

The world may have changed in countless ways since Alan Pifer (1921–2005) wrote these words in 1981, yet the challenges facing foundations have not diminished. Carnegie Corporation’s mission to work toward permanent good seems more urgent than ever, and the qualities Pifer saw as essential are continually put to the test. The need for vision and openness to change, in particular, is pressing as programs transition from start-up to midpoint in their development.

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### Mature Programs: Balancing Continuity and Change

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Throughout 2005, the Corporation saw its past years’ innovation and diligence pay off as longstanding programs entered a stage of maturity. Results thus far have been promising and, while awaiting final outcomes, program staff members have been challenged to discover new ways to advance the Corporation’s agenda—reaching further, envisioning new enterprises and

risking the security of what is known for the opportunity to explore new ideas.

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The Strengthening U.S. Democracy (SUSD) program is a case in point. The Corporation's fiscal year, which begins in October, opened with the 2004 elections—an invaluable opportunity to assess the effects of Corporation-supported campaign finance reform efforts and the Help America Vote Act of 2002 (passed in response to the election debacle of 2000). While the country moved closer to the goal of fair and responsive elections, with each loophole closed and problem solved, new issues were seen to arise, pointing the way toward SUSD's future undertakings.

Similarly, global developments have given the International Peace and Security program an opportunity to evaluate its successes, including the Corporation's influential support of Track II diplomacy with North Korea and the flourishing Centers for Advanced Study and Education (CASEs) in Russia. But with other dangers looming—among them the continuing proliferation of nuclear weapons and the deadly potential of weaponized biological threats—the foresight and strategizing skills of program

staff members clearly must remain on call.

Indeed, as this annual report shows, activities in all four program areas—from the International Development Program's reinvigorating of higher education in Africa to the Education Division's reinvention of teacher education—are similarly poised between continuity and change, between the need to sustain achievements and the pressure to find new solutions to the critical problems of our time.

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## Education

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Teachers for a New Era, the Education Division's initiative on teacher education, is an undertaking now in its mature phase. A total of eleven institutions have participated since 2001, and the four that received initial support have been funded again after a comprehensive review and demonstrated progress toward the goal of using performance, evidence-based systems. (Renewal grants for the remaining institutions will be considered for the next two years.)

Influenced by the initiative, the grantee institutions involved are allocating resources in clearly different and more effective ways. The University of Virginia, for example, has committed three years of funding to a newly created Center for the Advanced Study of Teaching and Learning. Michigan State University has appointed an Associate Dean in the College of Arts and Sciences to affiliate status in the College of Education, and at the University of Connecticut, several arts and sciences faculty members have been recruited to improve pedagogy in the departments of chemistry, biology and mathematics.

Additionally, functional relationships have formed between several grantee institutions and local school districts, and other grantee institutions have committed endowed funds to the pursuit of excellent teacher education.

The Education Division's other major initiatives, Schools for a New Society (SNS) and New Century High Schools for New York City, have continued to focus on improving the management of urban school districts and thereby the quality of education in all high schools in those districts. Comprehensive appraisal of the work of SNS thus far reveals the difficulty of changing and reforming complicated urban administrations, yet also reveals notable successes—demonstrating that, while each school district participating in SNS has shaped its own approach, common principles as well as effective new strategies have emerged. Indicators of achievement include a policy of curriculum flexibility allowing Boston schools to choose traditional, interdisciplinary or open structure; creation of a principals' network in Hamilton County that has resulted in key changes to the central office and in professional development personnel; and introduction of a differentiated portfolio approach in San Diego to allow high schools to respond to academic and community needs.

In the coming years, the Education Division will pursue extensive grantmaking in adolescent literacy. The division's Reading to Learn initiative has opened a new field of research and practice in response to the often-desperate reading inadequacies of middle and high school students, a problem documented by the Corporation as it began focusing on higher education and, in the process, identified the severe reading and comprehension problems of many adolescents. A coherent, comprehensive strategy for change has been

devised to address the complex problems associated with literacy: teachers require new curricular materials; federal policies are needed to strengthen government's response; and the field needs data on the attitudes, opinions and practices of students and teachers.

The Corporation's strategy, created with the guidance of a distinguished group of educators who comprise the Carnegie Advisory Council on Advancing Adolescent Literacy, has paved the way for forging new approaches, such as preservice literacy teacher education and inservice training through development of standards for secondary-school literacy coaches. Adolescent literacy guides will be written for groups that will help shape the implementation of programs at the state and local level. Financial support from other foundations has increased as a result of this original work, and the U.S. Department of Education has launched a \$25 million Striving Readers Initiative, with a proposed \$200 million budget for fiscal year 2006.

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## International Development

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The International Development program's overarching mission of strengthening African universities made significant progress this year with the relaunching of the Partnership for Higher Education in Africa—a dramatic renewal of support from the consortium formed in 2000 by Carnegie Corporation and the Ford, MacArthur and Rockefeller foundations. Over the past five years, the foundations have contributed more than \$150 million to build core capacity and support special initiatives at universities in Ghana, Mozambique, Nigeria, South Africa, Tanzania and Uganda, with Kenya joining in 2005.

The William and Flora Hewlett Foundation and the Andrew W. Mellon Foundation have now joined the partnership; together, the foundations have pledged \$200 million over the next five years. Corporation-supported achievements leading up to the collaboration in its current form include the awarding of \$10 million in scholarships for African women—resulting in very low dropout rates and successful efforts to recruit, train and retain new women faculty; establishment of groundbreaking university-based HIV/AIDS programs in South Africa; and tremendous leaps forward in information and communications technology (ICT), including a collaboration between the Massachusetts Institute of Technology and three African universities.

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The engine for sustainable development and economic competitiveness, ICT is an essential ingredient in education and research, healthcare, poverty eradication and job creation. African nations are grappling with the challenge of access, and one noteworthy accomplishment attests to the possibility of a more level playing field. Eleven African universities and two higher education organizations have formed a coalition, with

support from the partnership, to bring vastly expanded Internet bandwidth capacity at approximately one-third the cost to academic institutions in the continent. Plans for the future, including the establishment of national research and education networks, aim to help provide across-the-board sustainable and permanent Internet access throughout sub-Saharan Africa.

The International Development program's support of libraries, refocused toward the development of national and public libraries in South Africa, has begun to show positive results and is being continued.

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## International Peace and Security

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For two decades, activities supported by the International Peace and Security program have aimed to prevent the spread and potential use of nuclear—and, more recently, biological—weapons. In the past fiscal year, funding has focused on strengthening nonproliferation treaties and agreements; promoting Track II—or unofficial—diplomatic consultations between government officials and nongovernmental experts; assisting attempts to monitor and control existing nuclear weapons and materials; and bringing biotechnological expertise to bear on policy decisions.

The program's efforts have produced a number of noteworthy and generally hopeful results. According to American and Asian experts, Corporation-supported Track II diplomacy played a critical role in encouraging North Korea to return to the negotiating table, as well as bridging substantive divides between participants in

the official Six-Party Talks, aimed at resolving ongoing concerns about North Korea's nuclear weapons program. Also promising is the preparation of security experts in Corporation-supported programs: more than twenty-five new international nonproliferation specialists completed training at the Center for Nonproliferation Studies, based at the Monterey Institute of International Studies; and thirty bioscientists from the Massachusetts Institute of Technology and the University of California, Berkeley, were introduced to the political dimensions of biological weapons through a project that fosters interdisciplinary research by and information exchange between biologists and policy analysts.

Grantmaking in the area of global engagement, which involved cooperative international efforts to address emerging security problems, particularly states at risk, was highly productive. For instance, the City University of New York created a web-enabled, searchable database of young scholars and their Ph.D.-level research on states at risk and related issues, featuring 250 entries at last count. In addition, over 75 policy-level conferences and workshops related to states at risk were convened, involving such key organizations as the United Nations, the U.S. Department of Defense, the World Bank and the International Monetary Fund.

The main objective of the program's work on U.S.-Russian cooperation is to strengthen relations between the two countries through several strategies, including integration, identification of areas of mutual interest and continued U.S. attention toward social and political developments in Russia. Largely as a result of these efforts, official discussions are taking place on new mechanisms for Russia's engagement with both NATO

and the European Union institutions, and Russia's accession to the World Trade Organization is expected to take place within several years. A dialogue between U.S. and Russian officials and experts on homeland security, spearheaded by the National Academy of Sciences, has allowed for the exchange of information on preventing domestic terrorism. And continuation of a modest capacity-building leadership training program for young decisionmakers in the region last year reached approximately 400 individuals, who are slowly building the infrastructure for their countries' transitions.

Focusing on the future, the International Peace and Security program will, among other projects, explore further Track II opportunities, study the feasibility of an educational program on states at risk and broaden the current focus on U.S.-Russian cooperation to engage post-Soviet Eurasia.

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## Strengthening U.S. Democracy

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This program was designed to increase civic participation in the United States, which the Corporation has defined to include voting as well as volunteering and community engagement. In fiscal years 2003 and 2004, the foundation, in collaboration with other funders, supported voter registration and get-out-the-vote work targeted at the 2004 elections, focusing primarily on low-propensity voters such as new immigrants and youth.

This has proven to be a successful use of limited funds, in light of the fact that the 2004 election saw the highest voter turnout in thirty-six years, low-propensity voters included. In 2005, evaluations provided evidence reinforcing the efficacy



of continued Corporation funding of these nonpartisan voter registration and education activities through the 2008 election. Given continuing problems with, and concerns about, the nation's electoral infrastructure, the Corporation will continue to support monitoring and public education to ensure that the Help America Vote Act is implemented fairly. And going forward, the program on Strengthening U.S. Democracy will provide support to a consortium of organizations, led by the Leadership Conference for Civil Rights Education Fund, to secure ongoing enforcement of the Voting Rights Act of 1965.

The Corporation's work in the area of immigrant civic integration has gained momentum with the introduction of "The Secure America and Orderly Immigration Act of 2005" by Senators John McCain (R-AZ) and Edward Kennedy (D-MA). In 2005, support was provided to groups working at the federal level; in the coming year, funding will move primarily to the state and local level.

Given the program's unprecedented success in meeting several of the indicators established for its work in youth civic engagement, staff members are assessing areas in which the Corporation might continue to leverage this issue. Many of the objectives of its efforts to strengthen the nonprofit and philanthropic sector have been met as well, leading to the Corporation's 2005 decision to wind down support. Program staff have also decreased support in the campaign finance reform area over the past two years, with the intention of completing grantmaking by the end of 2008. Larger, multi-year grants continue to be provided to significant grantees in which the Corporation has confidence, allowing endeavors to exit responsibly while new program directions are explored.

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## Carnegie Scholars Program

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In surveying the results of the first five years of the Scholars Program, which awarded its inaugural fellowships in 2000, staff members noted that several of the 67 scholars who received funding are now completing books or major articles. Two of these scholars—Ian Shapiro, whose examination of the demand and supply sides of income redistribution have drawn him into the Congressional estate tax debates, and Robert Pape, who has studied suicide terrorist attacks worldwide from 1980 to 2001 and concluded that these acts follow a strategic logic designed to coerce modern liberal democracies to make territorial concessions—have already had major public impact by informing vital conversations.

Since the decision was made, in 2004, to focus the Scholars Program on the theme of Islam in the modern world, the aim of the program has shifted to support original scholarship that extends knowledge about Islam as a religion as well as about Muslim cultures and communities, both in the United States and abroad. In 2005, sixteen Carnegie scholars, representing an array of U.S. universities and institutions, were awarded fellowships. By funding this innovative scholarship, the Corporation intends to build leadership in the field and provide a substrate for national and foreign policy.

## Advancing Literacy

ALLIANCE FOR EXCELLENT EDUCATION INC.,  
*Washington, DC*

A PROJECT ON PROMOTING POLICY FOR INTERMEDIATE  
AND ADOLESCENT LITERACY. TWO YEARS, \$500,000.

An estimated 8.7 million children in grades four through twelve read below basic levels and evidence suggests that 75 percent of students who struggle with reading in the fourth grade continue to struggle in the ninth grade. Because funding for literacy historically has focused on children in the early years, Alliance for Excellent Education, a national policy, research and advocacy organization that aims to make it possible for all students to achieve high standards and graduate prepared for college and success in life, has worked to ensure that legislation be introduced for increased spending on literacy for middle and high school students. With this grant, Alliance staff members are building awareness and knowledge about adolescent literacy, expanding a coalition of literacy advocates and educating policymakers in an effort to facilitate more favorable policy outcomes at the state and local level for strengthening adolescent literacy.

CARNEGIE CORPORATION OF NEW YORK,  
*New York, NY*

CARNEGIE ADVISORY COUNCIL ON READING  
TO LEARN. ONE YEAR, \$750,000.

The Carnegie Advisory Council on Reading to Learn, comprising scholars and practitioners in the field of literacy, was formed to examine the state of adolescent literacy in the United States, identify key barriers to improving adolescent literacy and build a broader knowledge base for teaching successful reading beyond the third grade. In 2003, RAND Corporation undertook a national examination of adolescent literacy, the results of which are serving as a guide to council members. Over the next year,

members of the council are exploring effective strategies for improving the public's knowledge about adolescent literacy, identifying ideal teacher preparation programs and effective deployment of adolescent literacy coaches, ascertaining elements of good practice in districts and classrooms and developing research priorities to guide the Corporation and other foundations in funding projects on literacy.

TEACHERS COLLEGE, COLUMBIA UNIVERSITY,  
*New York, NY*

ENHANCING TEACHER PREPARATION FOR ADOLESCENT  
LITERACY THROUGH INTERDISCIPLINARY LEARNING  
COMMUNITIES. TWO YEARS, \$100,000.

Members of a preservice initiative at Teachers College's (TC) are creating two interdisciplinary learning communities focused on adolescent literacy, one for preservice teachers, the other for university faculty. The group of students enrolled in Science Education, Social Studies Education and the Reading Specialist Program who will form the preservice teacher community are taking two courses together over one academic year—an adolescent literacy course and a secondary school teaching seminar. The faculty learning community, which parallels the student group, is designing, implementing, evaluating and working to sustain the teacher preparation model. The initiative is partnering with the National Academy for Excellent Teaching—an academy within TC that focuses on preparing teachers to work with low-income, urban, minority youth with high literacy needs—to help plan, implement and test the model.

UNIVERSITY OF CONNECTICUT, *Storrs, CT*

CREATING TOOLS FOR TEACHERS TO DEVELOP  
STUDENT COMPETENCIES IN TRADITIONAL AND NEW  
LITERACIES. NINETEEN MONTHS, \$100,000.

To improve the quality of subject-matter instruction in U.S. middle schools and high schools, the University of Connecticut is focusing a preservice initiative on literacies, with an emphasis on

online reading and writing practices that rely on Internet technologies for learning and instruction. There are two tiers to the project. The first tier allows math and science teacher candidates to undertake formal instruction, clinical-based instruction and research projects related to new literacies through a series of courses and activities. The second tier comprises data collection and data analysis, to be conducted by researchers who will assess the professional knowledge, professional practice and research skills of participants in relation to both traditional and new literacies.

FLORIDA STATE UNIVERSITY RESEARCH  
FOUNDATION, INC., *Tallahassee, FL*

DEVELOPMENT AND DISSEMINATION OF A LEADERSHIP  
MODEL FOR IMPROVING ADOLESCENT LITERACY.

TWO YEARS, \$436,000.

Judith Irvin, an expert in adolescent literacy and professor in the College of Education at Florida State University (FSU), is leading a team of researchers in creating and disseminating a set of tools and resources to provide a framework for district and school leaders who are implementing comprehensive and coordinated adolescent literacy programs. FSU is partnering with the Association for Supervision and Curriculum Development, a nonprofit, nonpartisan organization representing 170,000 educators that reports key policies and practices on all aspects of effective teaching and learning—including professional development, educational leadership and capacity building. The set of tools is to include a book that outlines the foundation for the model; an expanded discussion and explanation of the literacy and leadership model, including practical suggestions for implementation of the model in schools and districts; and a toolkit containing videotapes, CDs and professional development materials.

UNIVERSITY OF ILLINOIS, *Chicago, IL*

DEVELOPING CAPACITY TO PREPARE PRE-SERVICE  
TEACHERS TO TEACH LITERACY IN SECONDARY SCHOOL  
CLASSROOMS. TWO YEARS, \$100,000.

Like many states across the country, Illinois has worked to improve public education for students in

the early grades. Illinois school districts, however, particularly urban school districts, continue to be troubled by secondary school students' low reading scores. In public high schools in Chicago, for example, fewer than 15 percent of students are shown to read at grade level. The University of Illinois, Chicago, is undertaking an adolescent literacy preservice initiative to develop literacy strategies for teachers teaching high school mathematics and history. The project is to be based at the university's Center for Literacy, a research and service center established in 1991 to provide leadership and technical assistance to Chicago area schools and community-based organizations to enhance the delivery of high-quality literacy services. A literacy team is being established to meet with disciplinary specialists, teacher educators, high school teachers and literacy experts, and discipline-based courseware and strategies are to be developed.

UNIVERSITY OF KANSAS, CENTER FOR RESEARCH,  
INC., *Lawrence, KS*

DEVELOPING TOOLS FOR ENHANCING PRESERVICE  
EFFORTS TO PREPARE TEACHERS AND ADMINISTRATORS  
TO EFFECTIVELY EDUCATE STRUGGLING ADOLESCENT  
READERS. TWO YEARS, \$100,000.

Since 1987, the University of Kansas, Center for Research on Learning—which has trained more than 400 preservice teachers—has been developing materials and providing professional development opportunities for university faculty with the goal of incorporating research-based interventions that promote adolescent literacy into teacher education coursework. Building on this work, the center is undertaking a project to develop and disseminate a DVD, handbook and online resource library for use by college and university professors on integrating literacy methods into preservice coursework, thereby enhancing preparation of teachers and administrators enrolled in preservice programs.

MICHIGAN STATE UNIVERSITY, *East Lansing, MI*

PREPARING PRESERVICE TEACHERS FOR TEACHING  
ADOLESCENTS STRATEGIES FOR READING AND  
WRITING. THREE YEARS, \$100,000.

Ensuring that all adolescents can read and comprehend informational text used in a variety of content areas is one of the challenges facing secondary school educators—a challenge exacerbated by the pressures teachers already face to cover an ever-increasing amount and range of content. Michigan State University's teacher preparation program, which has been a leader in teacher education reform and development for nearly thirty years, is designing a theoretical framework for embedding adolescent literacy into science and math courses. The goal is to support preservice teachers in gaining skills for teaching adolescent literacy in content areas.

UNIVERSITY OF MICHIGAN, *Ann Arbor, MI*

ADVANCING ADOLESCENT LITERACY LEARNING IN THE DISCIPLINES. TWO YEARS, \$99,900.

The University of Michigan's School of Education has been undergoing reform over the last five years. To provide prospective teachers with broad and deep information and strategies for enhancing literacy in secondary school content areas, the secondary school teaching program has been restructured to include a coordination of coursework with a school-based practicum for all prospective teachers. With this grant, the school's preservice initiative is introducing a number of courses in adolescent literacy and building knowledge for embedding literacy in the content areas of math and history.

NATIONAL GOVERNORS' ASSOCIATION CENTER FOR BEST PRACTICES, *Washington, DC*

ASSISTING POLICYMAKERS IN DEVELOPING STRATEGIES TO IMPROVE ADOLESCENT LITERACY. SIXTEEN MONTHS, \$552,500.

The National Governors Association (NGA), founded in 1908, is the instrument through which the nation's governors collectively influence the development and implementation of national policy and promote visionary state leadership. Its members are the governors of the 50 states, three territories and two commonwealths. The NGA Center for Best Practices provides tailored technical assistance, tracks and evaluates state innovations and best practices and helps governors and their staff develop

new solutions to public policy challenges. With this grant, the center is assisting eight to ten states in the development and implementation of a strategic plan to improve adolescent literacy, which has been identified as central to secondary school reform. An issue brief highlighting effective state policies and practices will be published and disseminated to governors' offices, state education agencies, members of the media and experts in the field.

STRATEGIC EDUCATION RESEARCH PARTNERSHIP INSTITUTE, *Washington, DC*

TEACHER AND STUDENT SURVEYS TO GUIDE RESEARCH AND DEVELOPMENT TO IMPROVE ADOLESCENT LITERACY INSTRUCTION. TWO YEARS, \$450,200.

The Strategic Education Research Partnership, designed by a committee of leaders at the National Academy of Sciences, seeks to mobilize political and financial resources, scientific research and the expertise of teachers and school administrators in a collaborative effort to improve student learning. To increase the knowledge base of teachers on implementing literacy comprehension strategies in content area teaching, the institute is undertaking a project to develop teacher and student surveys on literacy instruction. The surveys, to be administered in three urban school districts, are being designed to provide a descriptive account of how content area teachers think about their role in supporting literacy and identify the ways in which attitudes and beliefs impact practitioners.

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## Higher Education

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ACADEMY FOR EDUCATIONAL DEVELOPMENT, INC., *Washington, DC*

TEACHERS FOR A NEW ERA: A CORPORATION INITIATIVE TO REFORM AND IMPROVE THE EDUCATION OF TEACHERS. TWO YEARS, \$4,546,700.

Carnegie Corporation of New York is undertaking an ambitious reform initiative, Teachers for a New Era, to stimulate construction of excellent teacher education programs at selected colleges and universi-

ties. The initiative is organized by three design principles: teacher education programs should be guided by a respect for evidence; faculty in the disciplines of the arts and sciences must be fully engaged in the education of prospective teachers; and education should be understood as an academically taught clinical practice profession. This grant provides renewal funding for two of the original four institutions participating in the initiative; funds from the Ford and Annenberg foundations are committed to supporting the other two institutions. The Academy for Educational Development serves as fiscal agent for grants to institutions funded under the initiative.

CARNEGIE CORPORATION OF NEW YORK,  
*New York, NY*

TECHNICAL ASSISTANCE ASSOCIATED WITH THE  
TEACHERS FOR A NEW ERA INITIATIVE.  
ONE YEAR, \$1,965,800.

In June 2001, the Corporation launched an ambitious reform initiative, Teachers for a New Era, to assist in the construction of excellent teacher education programs at selected colleges and universities. The initiative—which is organized by three design principles, including a respect for evidence, engaging faculty in the disciplines of the arts and sciences in the education of prospective teachers, and the teaching of education as an academically taught clinical practice profession—provides major funding, with assistance from the Annenberg and Ford foundations, to eleven institutions. The Academy for Educational Development is providing technical assistance to the sites, as well as serving as fiscal agent.

THE EXPLORATORIUM, *San Francisco, CA*

DISSEMINATION OF A MODEL TEACHER-INDUCTION  
PROGRAM. THREE YEARS, \$421,000.

To establish a system of support for teachers during their first two years in the classroom, Exploratorium developed a model disciplinary-specific induction program for middle and secondary school science teachers. Corporation funds were used to support an evaluation of the program and dissemination of findings, which indicated that the program helped “novices improve their science content knowledge

and engage in hands-on inquiry-based classroom activities more frequently.” The program also was found to stem the rate of attrition among beginning science teachers in urban schools. A major grant from the National Science Foundation is supporting more in-depth research on the program, including an examination of how particular support strategies for beginning science teachers affect pupil achievement. Recommendations will be disseminated to local and state policymakers and experts in the field, including those at colleges and universities supported by the Corporation’s Teachers for a New Era initiative.

RAND CORPORATION, *Santa Monica, CA*

A RESEARCH STUDY OF CAUSAL EFFECTS OF VALUE-  
ADDED ASSESSMENT ON EDUCATORS AND STUDENT  
OUTCOMES. TWENTY-SEVEN MONTHS, \$350,000.

The use of standardized test scores to evaluate the progress of students and schools is widespread in public education and is now a cornerstone of state and federal efforts to improve the performances of public schools. Value-added assessment (VAA), a recently-developed method for using test-score data, is a statistical technique that can determine the causal effects of individual schools or teachers on student learning. A team of researchers at RAND Corporation is undertaking a study to investigate whether student achievement improves in school districts in Pennsylvania that are provided with VAA data. The study, which builds on a study supported by the Corporation that examined the utility of VAA systems, is also exploring how VAA is implemented in districts and schools.

STANFORD UNIVERSITY, *Stanford, CA*

RESEARCH EXAMINING THE RELATIONSHIP  
BETWEEN MEASURES OF PRESERVICE TEACHER  
PREPARATION, INDIVIDUAL TEACHER QUALITY,  
TEACHING PRACTICES AND STUDENT ACHIEVEMENT  
GAINS. THREE YEARS, \$749,300.

Because recent research confirms that teacher effectiveness is the most important factor in student achievement, a team of scholars at Stanford University is undertaking a project to examine the relationship between teacher quality—includ-

ing specific components of teacher preparation programs, perspectives of teachers on their preparation and induction support and practices of new teachers—and pupil achievement gains. The goal of the project is to improve the preparation of teacher candidates and provide guidance on the best investment of resources at the policymaking level.

UNIVERSITY OF WISCONSIN, *Madison, WI*

RESEARCH ON HUMAN RESOURCES MANAGEMENT AND IMPROVED STUDENT ACHIEVEMENT.

TWO YEARS, \$300,000.

When policymakers think about how to improve student learning at the K-12 level, they frequently overlook the need to examine human resources management (HRM) practices in districts related to teacher quality, including the systems in place to recruit, select, induct, train, evaluate and compensate teachers. Researchers at the University of Wisconsin are undertaking a project to study the relationship between specific HRM innovations and student achievement in two districts. Project members are assessing the potential of a set of HRM initiatives—including teacher compensation, principal performance evaluation and teacher selection—to contribute to district efforts to improve teacher quality and student achievement; and raising awareness among policymakers and district leaders about the importance of a systematic, strategic approach to HRM in which programs are aligned both internally and with school districts' strategic initiatives to improve student learning.

UNIVERSITY OF WASHINGTON, *Seattle, WA*

RESEARCH ON TEACHER LICENSURE TESTS AND STUDENT ACHIEVEMENT. THREE YEARS, \$300,000.

As of 2003, 46 states and the District of Columbia required potential teachers to pass some form of examination that tests basic skills and content knowledge to gain employment in the field. While the prevalence of teacher testing has grown over the last 30 years, there is a paucity of research on the efficacy of licensure examinations, contributing to a lack of consistent, rational criteria for the setting of teacher cutoff scores in states. Taking

advantage of value-added assessment data—which links the contributions of individual teachers to individual students—about students in grades three through five in North Carolina, the University of Washington is conducting a study to examine the relationship between performance on state licensure tests and student learning gains. The study also explores the extent to which different test-score cutoffs impact the quality of the teacher workforce.

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## Urban School Reform

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ACHIEVE, INC., *Washington, DC*

DEVELOPING STATE AND LOCAL STRATEGIES FOR IMPROVING HIGH SCHOOL GRADUATION RATES.

TWO YEARS, \$950,000.

In 2005, at the National Education Summit on High Schools, forty-five governors joined educators and business leaders to discuss strategies to transform America's high schools and restore value to the high school diploma. The summit, which was cosponsored by Achieve and the National Governors Association (NGA), helped to put two goals at the top of state policy agendas: raising high school diploma standards and increasing graduation and postsecondary enrollment rates. Achieve is building on the work of NGA and the Corporation's Schools for a New Society initiative—which aims to stimulate and support the transformation of urban high schools on a district-wide basis—to assist in the creation of state-district partnerships and the development of local and state strategies for reducing dropouts and recovering academically-disconnected youth. An essential component of the project is to improve the availability and quality of data, enabling states and districts to target at-risk students and schools.

ASPEN INSTITUTE, INC., *Washington, DC*

EDUCATION POLICY SEMINARS FOR CONGRESSIONAL STAFF. TWO YEARS, \$250,000.

The Aspen Institute's program on education provides a forum and leadership development for education leaders—government officials, researchers, funders,

school and college administrators and practitioners—to engage in focused discussions on efforts to improve student achievement, and to consider how public policies affect progress. Through sustained dialogue, the program aims to promote common understandings, clarify areas of disagreement, generate ideas and build bipartisan alliances. To provide key Congressional staff members with the opportunity to participate in detailed discussions with independent scholars and experts about education issues and make site visits to innovative education programs, the program is convening two seminars a year, each to be held in a retreat location, and organizing breakfasts in Washington to provide further opportunities for Congressional staff to explore contextual perspectives on education issues.

CARNEGIE CORPORATION OF NEW YORK,  
*New York, NY*

TECHNICAL ASSISTANCE AND EVALUATION SERVICES  
FOR THE SCHOOLS FOR A NEW SOCIETY INITIATIVE.  
ONE YEAR, \$880,000.

The Corporation's Schools for a New Society initiative, which aims to foster comprehensive, systemwide school reform, supports seven cities that are implementing five-year action plans designed to transform high schools into effective communities of high-quality teaching and learning. Critical to the initiative is a three-pronged approach of technical assistance, evaluation and knowledge development. The Academy for Educational Development, in collaboration with the Annenberg Institute for School Reform, the Institute for Education and Social Policy at New York University, and the Collaborative Communications Group, has been working closely with the Corporation and the Bill & Melinda Gates Foundation to provide technical assistance to the sites. A national cross-site evaluation to provide timely and ongoing information about the implementation of changes across districts and generate knowledge about high school reform in a variety of settings has also been undertaken by SRI International and American Institutes for Research.

CROSS CITY CAMPAIGN FOR URBAN SCHOOL  
REFORM, *Chicago, IL*

DEVELOPING AND DISSEMINATING STRATEGIES FOR  
DISTRICT REFORM. TWO YEARS, \$200,000.

Broad improvement of student outcomes in urban districts cannot be accomplished without the involvement of the central office, which plays a key role in producing greater success for students. In an examination of the role of the central office in implementing educational reforms in three urban school districts, Cross City Campaign for Urban School Reform made a strong case for rethinking the function of districts, changing their centralized, bureaucratic structures and shifting more funds and authority to the schools. Building on these Corporation-funded case studies, the campaign is launching a two-year dissemination effort to ensure that research findings can help foster new pathways to student improvement.

EDUCATION WRITERS ASSOCIATION,  
*Washington, DC*

INFORMING AND TRAINING REPORTERS TO PROMOTE  
COVERAGE OF URBAN DISTRICT REFORM.  
TWENTY-SEVEN MONTHS, \$200,000.

The Education Writers Association, a professional membership organization of education reporters and editors, is undertaking a project to expand education reporters' knowledge of district-level reform efforts, policies and practices. The association is planning to focus four of its regional seminars on school district reform. To support reporters beyond these seminars and meetings, the association is creating a new web resource center, to be updated weekly, on urban school district reform, featuring a section on the role of districts.

THE INSTITUTE FOR EDUCATIONAL LEADERSHIP,  
INC., *Washington, DC*

FOSTERING THE DEVELOPMENT OF THE NATIONAL  
HIGH SCHOOL ALLIANCE TO STRENGTHEN RESEARCH,  
PRACTICE AND POLICY IN HIGH SCHOOL REFORM.  
ONE YEAR, \$100,000.

The National High School Alliance, coordinated by the Institute for Educational Leadership, seeks to strengthen research, practice and policy in high school reform by bringing together a wide array of organizations and initiatives actively working on improving high schools. Through national networks, the alliance is building on its consensus document, *A Call to Action: Transforming High Schools for All Youth*, to develop actionable recommendations for policy and practice at the federal, state, community and school level. In addition, the alliance is convening funders that support high school and youth-focused work to build opportunities for shared learning about the essential elements of effective high school reform strategies, creating an investment map to identify opportunities for collaborative investment.

NATIONAL YOUTH EMPLOYMENT COALITION, INC.,  
*Washington, DC*

DEVELOPING FINANCING OPTIONS FOR STRUGGLING STUDENTS. TWO YEARS, \$174,300.

The National Youth Employment Coalition (NYEC), a membership organization that aims to improve the effectiveness of institutions serving youth, tracks and shapes policy, sets and promotes quality standards, provides and supports professional development and strengthens organizational and program capacity. Building on their work on financing options for schools and programs that serve struggling students, NYEC is undertaking a project to help states develop viable options for earning a high school diploma for students who have dropped out of school or who are at risk of dropping out. Activities include developing alternative education financing profiles, drafting a cross-state document that synthesizes strategies for providing fiscal support of alternative education, elevating the issue of financing alternative pathways with policymakers and district leaders and collaborating with the National Governors' Association and Achieve to raise standards and increase graduation rates.

NEW YORK UNIVERSITY, *New York, NY*

AN ANALYSIS OF COST AND PERFORMANCE IN SMALL AND LARGE NEW YORK CITY HIGH SCHOOLS.  
TWO YEARS, \$340,000.

The most effective and enduring high school reform in the last few decades has been the development of small schools and small learning environments within large schools. New York City has had small schools for decades, which, in the last five years, have witnessed unprecedented growth. To address concerns that small schools are more costly to operate, New York University's Institute for Education and Social Policy conducted a study in 1998 on the costs and outcomes of these high schools. That study found that while the cost per student was slightly higher in small than in large schools, graduation rates were higher in small schools. The institute is conducting a follow-up study to test and extend the analysis undertaken in 1998, using a more complex model for estimating the cost-performance relationships in a sample and looking at a wider range of small schools.

NORTHWESTERN UNIVERSITY, *Evanston, IL*

THE SECOND PHASE OF A MULTIDISCIPLINARY EDUCATIONAL LEADERSHIP DEVELOPMENT PROGRAM.  
TWO YEARS, \$300,000.

Successful school improvement comprises distributed leadership, where principals understand members of their staff as experts and leaders in the field. Distributed-leadership development requires that aspiring principals learn and practice skills that bring together and support the professional development of the teachers under their leadership in order to more effectively educate students. In June 2003, the Corporation awarded Northwestern University a planning grant to develop the Leadership Collaboratory, a K-12 model for urban school leadership. With this grant, the university is completing the development and field-testing of this new and nationally replicable model for preparing leadership teams from urban schools to work together to significantly improve learning opportunities for students.



RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK, *New York, NY*

A HIGH SCHOOL LEADERSHIP DEVELOPMENT PROGRAM. EIGHTEEN MONTHS, \$500,000.

Identifying and preparing qualified high school leadership is one of the largest challenges faced by urban school districts. In 2003, the Corporation awarded a planning grant to the School of Public Affairs of Baruch College (City University of New York) and New Visions for Public Schools to produce the High School Leadership Development Program (HSLDP), an innovative cost-efficient model for identifying and preparing new urban school leaders. The model is designed to address challenges faced by teams of high school leaders engaged in high school reform. Using New York City to field test the design, Baruch College (the Research Foundation of the City University of New York serves as fiscal agent) and New Visions are completing a multimedia curriculum for national distribution that provides aspiring leaders with knowledge and experiences needed to improve student outcomes at the high school level, as well as materials to support dissemination to sites that are part of the Corporation's Schools for a New Society initiative.

UNITED STATES CONFERENCE OF MAYORS, *Washington, DC*

ENHANCING MAYORS' ROLE IN URBAN EDUCATION REFORM. EIGHTEEN MONTHS, \$265,000.

In 2001, the United States Conference of Mayors established the Mayors' Initiative on Leadership in Education (MILE) to help Mayors respond to questions about improving the quality of schools in their cities; since then the conference has hosted several summits on education and has become a strong voice in the national conversation on education policy. With this grant, MILE aims to assist mayors in addressing roadblocks to their involvement in education reform and creating a more effective systematic approach to serving the educational needs of students and families, especially in high schools. Case studies examining the mayoral role in urban school reform will be produced and disseminated, and a competitive plan-

ning grant program to support two cities' work on drop-out prevention is to be created and managed.

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## General

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EDITORIAL PROJECTS IN EDUCATION, INC., *Bethesda, MD*

SUBSCRIPTION MODEL FOR EDUCATION WEEK ONLINE. ONE YEAR, \$65,000.

In 1980, with funds for a feasibility study, the Corporation helped to found *Education Week*; in 1995 and 1996, the foundation supported the launch of *Education Week's* web site. Widely regarded as the newspaper of record on K-12 education issues in the U.S., it nonetheless faces a host of challenges—like others in print media—to adapt its business to the demands of the electronic marketplace. Up-to-the-minute web sites are prerequisite for competitive news organizations and free access to online editions is being supplemented with subscription-based online products throughout the industry. Editorial Projects in Education, the publisher of *Education Week*, is undertaking a project to dismantle the barriers between its online and print operations in order to remain strong and viable. Funds from the Corporation are being used to support the transition of edweek.org to a partly subscriber-only site. Working with Really Strategies, specialists in online publishing, the organization is refining its policies regarding the sale of online content to finalize its preparations for the transition.

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## Other

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ASPEN INSTITUTE, INC., *Washington, DC*

CONGRESSIONAL PROGRAM ON EDUCATION. ONE YEAR, \$573,000.

The Aspen Institute's Congressional Program on Education brings members of Congress together with leading scholars and practitioners in seminars and an annual retreat to examine education issues central to national interests and to develop effective policy

responses. Building on the previous year's retreat, the February 2005 retreat focused on standards, accountability, resources and policies that examine the impact of the federal No Child Left Behind Act. Key topics included an examination of the No Child Left Behind Act as civil rights legislation, understanding value-added assessments in annual student gains, core elements of adequacy in education, the role of unions in education reform and the use of data in developing strategies to narrow the achievement gap. The institute also organizes briefings for the program on subjects suggested by members of Congress and external expert advisors.

ASPEN INSTITUTE, INC., *Washington, DC*

A NONPARTISAN COMMISSION ON THE NO CHILD LEFT BEHIND ACT. TWO YEARS, \$200,000.

The No Child Left Behind Act (NCLB), an intervention in the achievement gap and an effort to make sure all students, including those who are disadvantaged, achieve academic proficiency, is scheduled for reauthorization in 2006-2007. An objective discussion of NCLB is unlikely within the formal legislative process, given the partisan nature of the debate and widespread confusion as to the requirements of the law. Because the stakes of this reauthorization are so high, Aspen Institute is conducting a project to inform the reauthorization process with an independent and careful examination that considers how the law might be strengthened to ensure that its goals are achieved.

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## Discretionary Grants

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AMERICAN ASSOCIATION OF STATE COLLEGES AND UNIVERSITIES, *Washington, DC*

ONE-YEAR GRANT OF \$50,000 FOR DEVELOPMENT OF A TYPOLOGY OF EVIDENCE-BASED ASSESSMENT STRATEGIES FOR TEACHER EDUCATION PROGRAMS

AMERICAN MUSEUM OF NATURAL HISTORY,  
*New York, NY*

ONE-YEAR GRANT OF \$50,000 TOWARD AN EXHIBITION ON THE LIFE AND WORK OF CHARLES DARWIN

UNIVERSITY OF ARIZONA, *Tucson, AZ*

ONE-YEAR GRANT OF \$50,000 TOWARD A DATA RETRIEVAL SYSTEM LINKING STUDENT ACHIEVEMENT DATA TO INDIVIDUAL TEACHERS

ASSOCIATION OF AMERICAN COLLEGES AND UNIVERSITIES, *Washington, DC*

ONE-YEAR GRANT OF \$50,000 TOWARD THE LEAP CAMPAIGN, A PILOT PROJECT IN WISCONSIN FOR PUBLIC AND CAMPUS ENGAGEMENT

BARD COLLEGE, *Annandale-on-Hudson, NY*

ONE-YEAR GRANT OF \$50,000 TOWARD AN EVALUATION DESIGN TO MEASURE THE EFFECTIVENESS OF A MASTER OF ARTS IN TEACHING PROGRAM

BROWN UNIVERSITY, *Providence, RI*

ELEVEN-MONTH GRANT OF \$50,000 TOWARD SUPPORT TO DEVELOP AND CONVENE A FORUM ON UNDERSTANDING EDUCATIONAL EQUITY AND EXCELLENCE AT SCALE

UNIVERSITY OF CALIFORNIA, *Santa Cruz, CA*

ONE-YEAR GRANT OF \$25,000 FOR A PILOT TEACHER TRAINING PROGRAM TO PROMOTE BEST PRACTICES IN ADOLESCENT LITERACY INSTRUCTION

CENTER FOR APPLIED LINGUISTICS,  
*Washington, DC*

SIX-MONTH GRANT OF \$25,000 FOR PROMOTION OF ACADEMIC LITERACY SKILLS FOR TEACHING ALGEBRA TO ENGLISH-LANGUAGE LEARNERS

UNIVERSITY OF COLORADO, *Boulder, CO*

ONE-YEAR GRANT OF \$50,000 FOR A STUDY ON VALUE-ADDED MODELING OF STUDENT LEARNING

CONNECT FOR KIDS, *Washington, DC*

ONE-YEAR GRANT OF \$25,000 TOWARD A STRATEGIC COMMUNICATIONS INITIATIVE ON POLICIES AFFECTING DISADVANTAGED STUDENTS

COUNCIL OF INDEPENDENT COLLEGES, *Washington, DC*

ONE-YEAR GRANT OF \$50,000 TOWARD COOPERATION AMONG COLLEGES AND UNIVERSITIES TO MEASURE THE VALUE ADDED OF STUDENT LEARNING

CRENULATED COMPANY, LTD., *Bronx, NY*

ONE-YEAR GRANT OF \$25,000 TOWARD A COMMUNITY COLLABORATIVE TO IMPROVE DISTRICT-WIDE SCHOOLS IN NEW YORK CITY

THOMAS B. FORDHAM INSTITUTE, *Washington, DC*

SIX-MONTH GRANT OF \$50,000 TOWARD AN EVALUATION OF CURRENT SCIENCE STANDARDS FOR K-12 EDUCATION IN LIGHT OF CHANGES IN SCIENTIFIC KNOWLEDGE; AND PUBLICATION OF *THE STATE OF STATE SCIENCE STANDARDS 2005*

HARVARD UNIVERSITY, *Cambridge, MA*

EIGHTEEN-MONTH GRANT OF \$20,000 FOR A STUDY ON READING SPEED AND COMPREHENSION

INSTITUTE FOR EDUCATIONAL LEADERSHIP, INC., *Washington, DC*

ONE-YEAR GRANT OF \$50,000 FOR THE EDUCATION POLICY FELLOWSHIP PROGRAM

JOHNS HOPKINS UNIVERSITY, *Baltimore, MD*

ONE-YEAR GRANT OF \$24,900 TOWARD A SUMMIT ON ADOLESCENT LITERACY IN OUT-OF-SCHOOL TIME

LAKE FOREST COLLEGE, *Lake Forest, IL*

NINE-MONTH GRANT OF \$23,600 FOR RESEARCH ON EFFECTIVE PEDAGOGICAL PRACTICES FOR LANGUAGE-MINORITY STUDENTS

LEARNING MATTERS, INC., *New York, NY*

SEVEN-MONTH GRANT OF \$50,000 TOWARD EDUCATION COVERAGE FOR THE NEWSHOUR WITH JIM LEHRER

GEORGE LUCAS EDUCATIONAL FOUNDATION, *San Rafael, CA*

NINE-MONTH GRANT OF \$49,800 TOWARD EDITORIAL COVERAGE OF ADOLESCENT LITERACY IN EDUTOPIA MAGAZINE

UNIVERSITY OF MICHIGAN, *Ann Arbor, MI*

ONE-YEAR GRANT OF \$24,800 TOWARD RESEARCH INTO THE ORIGINS OF OUT-OF-FIELD TEACHING

NATIONAL ACADEMY OF SCIENCES, *Washington, DC*

SIX-MONTH GRANT OF \$21,000 FOR THE DISSEMINATION OF A REPORT ON ENGAGING HIGH SCHOOL STUDENTS' MOTIVATION TO LEARN

NATIONAL ASSOCIATION OF SECONDARY SCHOOL PRINCIPALS, *Reston, VA*

SEVEN-MONTH GRANT OF \$25,000 FOR WRITING A LEADER'S GUIDE TO ADOLESCENT LITERACY

NATIONAL SCHOOL BOARDS ASSOCIATION, *Alexandria, VA*

ONE-YEAR GRANT OF \$50,000 FOR A RESOURCE GUIDEBOOK ON ADOLESCENT LITERACY

PACIFIC INSTITUTE FOR COMMUNITY  
ORGANIZATIONS, *Oakland, CA*

ONE-YEAR GRANT OF \$25,000 TOWARD PROMOTING  
EDUCATION ORGANIZING AMONG GRASSROOTS  
ORGANIZATIONS

QUEST SCHOLARS PROGRAM, *Stanford, CA*

SIX-MONTH GRANT OF \$25,000 TOWARD A PROGRAM  
THAT PAIRS LOW-INCOME STUDENTS WITH  
SCHOLARSHIP AND INTERNSHIP OPPORTUNITIES

STANFORD UNIVERSITY, *Stanford, CA*

ONE-YEAR GRANT OF \$50,000 FOR DEVELOPMENT OF  
PROTOTYPE MATERIALS FOR PRE-SERVICE TEACHER  
PREPARATION IN HISTORY

STANFORD UNIVERSITY, *Stanford, CA*

THREE-MONTH GRANT OF \$50,000 FOR RESEARCH ON  
IMPROVING THE QUALITY OF LIBERAL ARTS EDUCATION

UNIVERSITY OF WASHINGTON, *Seattle, WA*

SEVEN-MONTH GRANT OF \$35,100 TOWARD A STUDY  
ON READING INSTRUCTION AND ACHIEVEMENT AMONG  
FOURTH- AND SIXTH-GRADERS

# International Development

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## Enhancing Women's Opportunities in Higher Education

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UNIVERSITY OF CAPE TOWN, *Rondebosch, South Africa*

AN UNDERGRADUATE SCHOLARSHIP PROGRAM TO PROMOTE BLACK FEMALE STUDENTS IN SCIENCE AND ENGINEERING. THREE YEARS, \$500,000.

Although black women are entering South African universities in increasing numbers, they continue to be underrepresented in science and technology programs. To strengthen enrollment numbers and success rates of black women in these programs, the University of Cape Town is awarding full scholarships to twenty-one promising black female students from the Western, Eastern and Northern Cape provinces for study in the Faculty of Science or the Faculty of Engineering and the Built Environment. All students are to be assigned staff and student mentors and will participate in a variety of enrichment activities, including week-long residential research institutes and a seminar series addressing such issues as women in science and technology and current debates in science and engineering research.

UNIVERSITY OF KWAZULU-NATAL, *Durban, South Africa*

AN UNDERGRADUATE SCHOLARSHIP PROGRAM TO PROMOTE WOMEN IN ENGINEERING AND AGRICULTURE. THREE YEARS, \$499,500.

Women have achieved numerical parity with men at the undergraduate level in South African universities, but remain significantly underrepresented in science and technology programs. The University of KwaZulu-Natal aims to address this imbalance in two fields, engineering and agriculture, through a three-pronged program. First, the university is designing a marketing and recruitment campaign

to test messages aimed at increasing applications from women to these programs. Second, twenty-six scholarships will be awarded to women, largely from KwaZulu-Natal Province, who demonstrate an aptitude for, and interest in, these fields. Third, a student enrichment program will be developed to ensure that students receive the academic and personal support they need to succeed at the university and prepare for the workplace.

UNIVERSITY OF THE WITWATERSRAND, *Johannesburg, South Africa*

AN UNDERGRADUATE SCHOLARSHIP PROGRAM TO PROMOTE BLACK WOMEN IN SCIENCE AND ENGINEERING. THREE YEARS, \$498,700.

While women make up about 50 percent of undergraduate students in South African universities, they are underrepresented in science and technology programs. To increase the number of black women in these disciplines, the University of the Witwatersrand is designing and implementing a pre-university preparation program for a group of black female students in their final year of secondary school in Gauteng, Limpopo and Mpumalanga provinces. Twenty of these students who meet the admissions criteria for the Faculty of Science or the Faculty of Engineering and the Built Environment will be awarded full scholarships. A student support and development program, addressing both academic and life skills, will be designed, with particular emphasis on improving pass rates in the students' first year, when the risk of failure is highest.

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## Revitalizing Public Libraries

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FOUNDATION FOR LIBRARY AND INFORMATION SERVICE DEVELOPMENT (PTY) LTD., *Pretoria, South Africa*

A MODEL NATIONAL LIBRARY IN SOUTH AFRICA. THREE YEARS, \$2,000,000.

In its efforts to become a model library in the country, the National Library of South Africa is using a grant from the Corporation to acquire fiction and nonfiction materials published locally and internationally by South African authors; build collections in the country's eleven official languages; carry out retrospective cataloguing of library holdings and make the collection available online to national and international readers; and acquire computers to be used for free public access in the library. These improvements will take place in the new state-of-the-art library facility being built with a capital investment of the South African Government of \$26 million. The Foundation for Library and Information Service Development serves as fiscal agent.

UNIVERSITY OF ILLINOIS AT URBANA-CHAMPAIGN,  
*Champaign, IL*

STRATEGIC PLANNING AND AUTOMATION OF  
AFRICAN GRANTEE UNIVERSITY LIBRARIES.  
THREE YEARS, \$499,900.

The Mortenson Center for International Library Programs at the University of Illinois is assisting seven of the Corporation's university grantees in Africa to develop strategic plans for their library systems and work toward automation—the automatic operation or control of such processes as circulation, cataloging and acquisitions. All but one of the grantees—the University of Dar es Salaam; Makerere University; University of Winneba; University of Ghana, Legon; University of Jos; Ahmadu Bello University and Obafemi Awolowo University—have received Corporation funding to improve their libraries. The seven university libraries are at different stages of library automation; the center is providing help with strategic planning, training, monitoring and evaluation.

CITY OF JOHANNESBURG, *Johannesburg,*  
*South Africa*

DEVELOPMENT OF A MODEL CITY LIBRARY IN  
JOHANNESBURG. THREE YEARS, \$1,996,500.

The Corporation's library program in sub-Saharan Africa supports the creation of model libraries that can serve as centers of excellence in accordance with

international standards set by the International Federation of Library Associations. Under the Corporation's program, substantial grants have been made to the City of Cape Town, the Msunduzi Municipality and the National Library in an effort to strengthen and build model libraries. This grant, to the City of Johannesburg, is aimed at fostering a model city library in South Africa's biggest and most economically vibrant urban center, furthering the Corporation's investment in developing model libraries in the region. Funds are to support collection development, cataloguing and promotion of newspaper, book and electronic collections.

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## Strengthening African Universities

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AFRICAN VIRTUAL UNIVERSITY, *Nairobi, Kenya*

A SATELLITE BANDWIDTH PURCHASING CONSORTIUM  
SERVING SELECTED AFRICAN UNIVERSITIES.  
THREE YEARS, \$1,269,700.

The high cost of bandwidth is one factor limiting African universities' use of information and communications technology (ICT) to improve teaching and research. Since 2002, the Partnership for Higher Education in Africa—a collaboration between four foundations—and the universities affiliated with it have been exploring ways to form a buying consortium in order to reduce bandwidth costs. The partnership contracted the African Virtual University (AVU), a regional educational organization that provides training programs using ICT, to conduct planning activities. AVU is undertaking management of the consortium, which will comprise eleven universities in five countries as well as the Association of African Universities.

UNIVERSITY OF CAPE TOWN, *Rondebosch,*  
*South Africa*

ESTABLISHMENT OF A MASTER'S DEGREE PROGRAM  
IN STRUCTURAL BIOLOGY, IN PARTNERSHIP WITH  
THE UNIVERSITY OF THE WESTERN CAPE.  
TWO YEARS, \$200,000.

The University of Cape Town, together with the University of the Western Cape, is establishing a joint Master of Science program in structural biology to help strengthen local research capacity in the field, which has been identified as a priority area by the Government of South Africa because it is essential to discovering drugs to cure AIDS, tuberculosis and malaria. The program, which is also helping to foster the knowledge and institutions necessary in a globally competitive marketplace, has established structural biology as a formal discipline in South Africa for the first time. Corporation funds are being used to reinforce structural biology as a new field in South Africa and, in particular, to increase enrollment by responding to lessons learned from the program's first three years.

UNIVERSITY OF CAPE TOWN, *Rondebosch, South Africa*

INSTITUTIONAL TRANSFORMATION AND AN EMPLOYMENT EQUITY PROGRAM.

THREE YEARS, \$2,000,000.

The University of Cape Town is one of the strongest research universities in South Africa and in the continent. The number of African faculty members, however, is 6 percent, which is below the national target, set at 40 percent, and below the national average, which is 20 percent. Central to the university's institutional transformation is an intertwined set of initiatives that aim to bring about measurable and decisive change in enrollment and employment patterns. The goal is both to accelerate the representation of black and female academics and to develop, mentor and retain this population. The initiatives are designed to put in place a robust policy framework and management system to support this effort.

CARNEGIE CORPORATION OF NEW YORK,  
*New York, NY*

TECHNICAL ASSISTANCE FOR AFRICAN UNIVERSITIES.

ONE YEAR, \$618,000.

In April 2000, the Corporation and three other foundations—Ford, MacArthur and Rockefeller—launched the Partnership for Higher Education in Africa, an initiative aimed at strengthening selected

African universities. In 2004, the Corporation completed a first round of technical assistance funding to universities in Ghana and Nigeria and began a second round of technical assistance funding to universities in Tanzania and Uganda. Six universities—the University of Education, Winneba, in Ghana; Ahmadu Bello University, the University of Jos, and Obafemi Awolowo University in Nigeria; the University of Dar es Salaam in Tanzania; and Makerere University in Uganda—are now considered long-term Corporation partners. By 2005, three of the six universities had launched development or advancement offices and all six had undergone professional development workshops aimed at advancing staff members' fundraising skills.

CENTRE FOR HIGHER EDUCATION

TRANSFORMATION TRUST, *Rondebosch, South Africa*

NATIONAL AND REGIONAL POLICY DIALOGUES FOR HIGHER EDUCATION EXPERTS AND POLICYMAKERS IN SOUTH AFRICA. TWO YEARS, \$130,000.

The Centre for Higher Education Transformation Trust is facilitating and managing a second series of policy dialogues on themes central to national development in South Africa. In the first series of the project, supported by the Corporation and the Ford Foundation, discussions for high-level policymakers and seminars for higher education constituents were held; in addition, publications on issues such as leadership and the phenomenon known as the "brain drain" were disseminated to members of the higher education community. In the second series, 30 national and regional seminars with up to 50 participants from different parts of the field are coming together to discuss issues such as equity and racism; research and innovation; governance; and the role of higher education in development. The goal is to enhance communication and cooperation between representatives of government, civil society and universities and to foster a more informed higher education community.

COUNCIL FOR ADVANCEMENT AND SUPPORT OF  
EDUCATION, *Washington, DC*

IMPROVING EDUCATIONAL ADVANCEMENT CAPACITY  
AT SELECTED AFRICAN UNIVERSITIES.

FIFTEEN MONTHS, \$200,000.

Universities the world over are struggling to cope with increasing costs and declining government subsidies. African universities are no exception, yet few have built significant capacity to raise funds from diverse nongovernmental sources. The Council for Advancement and Support of Education (CASE), a membership organization of 3,200 schools, colleges and universities in more than 45 countries, offers professional development programs, publications, research, standards and advocacy in the field of educational advancement. With this grant, CASE is providing technical assistance for fundraising and alumni development to universities in Ghana, Nigeria, Tanzania and Uganda; the universities are partners in the Corporation's effort to strengthen African universities through an initiative launched by the Corporation and the Ford, MacArthur and Rockefeller foundations in April 2000.

UNIVERSITY OF FORT HARE, *East London,  
South Africa*

INTERVENTIONS TO STRENGTHEN THE ACCOUNTING  
DEGREE PROGRAM. TWO YEARS, \$150,000.

With Corporation support, the University of Fort Hare (UFH)—a historically disadvantaged university—together with Rand Afrikaans University—a historically advantaged university—established a four-year degree in accounting, to be based at UFH. The program, designed to prepare students to meet South Africa's prescribed standards of excellence in the field, also aims to increase the number of black and female graduates in accounting. To improve the quality and success of the program, accounting courses and courses in English are being offered during summer and winter recess. The goal is to increase students' pass rates and enhance students' language proficiency.

UNIVERSITY OF KWAZULU-NATAL, *Durban,  
South Africa*

A LEADERSHIP AND EQUITY ADVANCEMENT PROGRAM.  
THREE YEARS, \$1,996,100.

The University of Natal and the University of Durban-Westville have merged to become a new South African university, the University of KwaZulu-Natal. Forty-three percent of the university's contract and permanent academic staff are black, and the university's goal, to become a national leader in the transformation of higher education in South Africa, is supported by the government as well as higher education stakeholders. A set of initiatives—including initiatives aimed at the training and retention of academic staff—has been established at the university to build on its successes in fostering black and female leadership and equity advancement.

MASSACHUSETTS INSTITUTE OF TECHNOLOGY,  
*Cambridge, MA*

PROJECT ON PROVIDING ACCESS TO ONLINE  
LABORATORIES FOR SELECTED AFRICAN UNIVERSITIES.  
TWO YEARS, \$800,000.

In 1998, the Massachusetts Institute of Technology (MIT) introduced the first of its online laboratories, dubbed "iLabs," which enable MIT students to conduct real-time experiments from anywhere in the world through the Internet. MIT is launching a project to provide three African universities—the University of Dar es Salaam in Tanzania, Makerere University in Uganda and Obafemi Awolowo University in Nigeria—with access to its online laboratories. A feasibility study carried out in 2004 determined that access to two of the iLabs—microelectronics device characterization and heat exchanger—was possible, subject to a few constraints. In addition, MIT and the African universities are developing curricula and course materials as well as new online laboratories. Staff and student exchanges will take place throughout the project to facilitate implementation.



NIGERIA ICT FORUM OF PARTNERSHIP  
INSTITUTIONS, *Zaria, Nigeria*

SUPPORT. TWENTY-ONE MONTHS, \$200,000.

The Nigeria ICT Forum of Partnership Institutions was formed in October 2004 with an initial membership of six universities—Ahmadu Bello, Bayero, Ibadan, Jos, Obafemi Awolowo and Port Harcourt—all of which receive capacity-building support from either Carnegie Corporation or MacArthur Foundation. The forum has two aims: to organize a variety of training events for ICT staff members at member universities, providing much-needed staff development at a cost lower than each university could obtain on its own; and to conduct research on relevant policy issues and represent the university community in ICT-related policy discussions. Once the forum is firmly established, its members will determine the parameters for extending membership to additional universities and other higher education and research institutions.

UNIVERSITY OF PRETORIA, *Pretoria, South Africa*

ESTABLISHMENT OF ADVANCED TRAINING PROGRAMS  
IN INTERNATIONAL TRADE AND INVESTMENT, IN  
COOPERATION WITH THE UNIVERSITY OF THE  
WESTERN CAPE. THREE YEARS, \$150,000.

The University of Pretoria, together with the University of the Western Cape, launched a project with Corporation support to increase international trade and investment capacity in African nations through the establishment of two programs, a Master of Law in international trade and investment law and a Master of Commerce in the economics of international trade and investment. The programs, which offer training in research, evaluation and negotiation of trade and investment issues, aim to increase institutional capacity at the universities and foster the requisite skills in international trade and investment for graduates. Initial funding helped to establish these new programs on the continent; current funding is to support selected activities to enhance sustainability, including the design of a “growth plan” for the programs over the long term; scholarships for disadvantaged students; and stipends for guest lecturers to teach in the program.

TERTIARY EDUCATION NETWORK, *Rondebosch,  
South Africa*

TRAINING IN BANDWIDTH MANAGEMENT FOR  
SELECTED AFRICAN UNIVERSITIES.

THIRTY MONTHS, \$156,100.

The Tertiary Education Network (TENET) serves the higher education sector in South Africa in two primary ways. First, higher education institutions can purchase bandwidth through TENET, which negotiated an educational discount with the South African telecommunications agency. Second, TENET organizes training events to build capacity in higher education institutions to effectively manage and use technology. This grant supports the extension of training in bandwidth management to the eleven universities in Ghana, Mozambique, Nigeria, Tanzania and Uganda that are affiliated with the Partnership for Higher Education in Africa. A reference group comprising a representative from each participating university will work with TENET to identify and implement an appropriate mix of training activities.

UNIVERSITY OF THE WITWATERSRAND,  
*Johannesburg, South Africa*

PROJECT TO TRAIN AND RETAIN THE NEXT  
GENERATION OF ACADEMICS.

THREE YEARS, \$1,991,800.

Traditionally an English-speaking, liberal arts institution, the University of the Witwatersrand (Wits) is situated in Johannesburg, the capital of trade and industry in South Africa. Due to its location, Wits serves as an important resource and training ground for leaders and managers in both the private and public sectors, as faculty members and researchers are often approached by representatives of the media, commerce and industry to provide expertise on a wide variety of topics. While the university has established an international reputation, having produced four Nobel laureates, it seeks to break with its identity as a formerly white institution by initiating a series of activities to train and retain the next generation of South African scholars.

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## Discretionaries

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ASSOCIATION OF AFRICAN UNIVERSITIES,  
*Accra-North, Ghana*

EIGHT-MONTH GRANT OF \$15,000 TOWARD A CONSULTANCY TO EXAMINE THE ASSOCIATION'S ROLE IN ENHANCING BANDWIDTH ACCESS FOR HIGHER EDUCATION INSTITUTIONS IN AFRICA

ASSOCIATION OF AFRICAN UNIVERSITIES,  
*Accra-North, Ghana*

TWO-MONTH GRANT OF \$10,500 TOWARD THE WORKING GROUP ON HIGHER EDUCATION STRATEGIC PLANNING

ASSOCIATION OF AFRICAN UNIVERSITIES,  
*Accra-North, Ghana*

ONE-YEAR GRANT OF \$19,100 FOR A BOARD LEADERSHIP WORKSHOP

UNIVERSITY OF CAPE TOWN, *Rondebosch, South Africa*

SEVEN-MONTH GRANT OF \$49,300 TOWARD AFRICAN PARTICIPATION IN A HIGHER EDUCATION MANAGEMENT TRAINING SEMINAR FOR WOMEN

CENTRE FOR HIGHER EDUCATION TRANSFORMATION TRUST, *Rondebosch, South Africa*

ONE-YEAR GRANT OF \$49,000 FOR DISTRIBUTING HIGHER EDUCATION PUBLICATIONS TO LIBRARIES AT AFRICAN UNIVERSITIES

COUNCIL FOR THE DEVELOPMENT OF SOCIAL SCIENCE RESEARCH IN AFRICA, *Dakar, Senegal*

ONE-YEAR GRANT OF \$50,000 TOWARD A CONFERENCE ON REFORM OF THE HIGHER EDUCATION SYSTEM IN NIGERIA

THE LEADERSHIP FOUNDATION, *Washington, DC*

TWENTY-MONTH GRANT OF \$50,000 TOWARD SUPPORT OF TWO AFRICAN HIGHER EDUCATION FELLOWS

UNIVERSITY OF PENNSYLVANIA, *Philadelphia, PA*

ONE-YEAR GRANT OF \$50,000 TOWARD A SUMMIT ON GLOBAL ISSUES IN WOMEN'S HEALTH

UNIVERSITY CORPORATION FOR ADVANCED INTERNET DEVELOPMENT, *Ann Arbor, MI*

SIX-MONTH GRANT OF \$25,000 TOWARD PARTICIPATION IN A MEETING ON INTERNATIONAL EDUCATION AND RESEARCH NETWORKING

UNIVERSITY OF THE WESTERN CAPE, *Bellville, South Africa*

TEN-MONTH GRANT OF \$46,000 TOWARD A STUDY OF THE RECONFIGURATION OF SOUTH AFRICA'S HIGHER EDUCATION INSTITUTIONS

# International Peace and Security

## Global Engagement

UNIVERSITY OF CALIFORNIA, SAN DIEGO,  
*La Jolla, CA*

RESEARCH, ANALYSIS AND DISSEMINATION ON  
INTERNATIONAL POLICY TOWARD STATES AT RISK.  
TWO YEARS, \$349,700.

A team of scholars at the Institute for International Comparative and Area Studies (IICAS) at the University of California, San Diego, is examining the strategies of various agencies—including economic development agencies, international peacemaker organizations, democracy promotion agencies and nongovernmental organizations (NGOs) focusing on humanitarian assistance—to determine how the work of each could be undertaken more effectively and made more complementary to the work of the others. IICAS is partnering with the International Rescue Committee, one of the world's leading humanitarian assistance NGOs, on the project; the examination is intended to inform the work of the committee and, in turn, provide insights relevant to key international actors.

UNIVERSITY OF CAMBRIDGE, *Cambridge,  
United Kingdom*

RESEARCH ON STABILIZING STATES AT RISK THROUGH  
ASYMMETRICAL CONSTITUTIONAL DESIGNS.  
TWO YEARS, \$292,500.

Recently, the issue of asymmetrical constitutional design—the granting of autonomy or quasi-federal status to one part of a state without transforming the overall state system into a full federation—has reasserted itself in a new wave of peace settlements in internally-torn states at risk. Building on its previous, policy-relevant work on the capacity of complex power-sharing arrangements to help stabilize states facing secessionist challenges, the University of Cambridge's Centre of International Studies is analyzing existing asymmetrical design

practices and, based on this critical review, offering concrete advice to participants of ongoing negotiations in a targeted set of states at risk where this issue has become particularly salient. The goal is to help build understanding and knowledge among constitutional experts and international negotiators.

CENTER FOR CULTURAL AND TECHNICAL  
INTERCHANGE BETWEEN EAST AND WEST, INC.,  
*Honolulu, HI*

PROJECT ON STATE-BUILDING CHALLENGES IN ASIA.  
TWO YEARS, \$400,000.

In a number of Asian states that have made substantial progress in constructing legitimate political units, national identity continues to be contested by minority communities, presenting challenges that, while they may not result in imminent state collapse, reflect risks that could lead to failures in some aspects of modern statehood or local state failure in certain geographical areas of a country. The Center for Cultural and Technical Interchange Between East and West, a highly regarded research institute based in Honolulu, is embarking on a project involving scholars and policymakers from the U.S. and Asia focused on internal conflicts arising from the construction of national identity in Asia, with specific focus on conflicts rooted in the relationship of minority communities to the state.

UNIVERSITY OF COLORADO, *Boulder, CO*

RESEARCH PARTNERSHIP ON POSTWAR STATE-  
BUILDING. TWO YEARS, \$318,500.

Building on research undertaken in the last decade, including studies generated by a cohort of Corporation-supported organizations and scholars, the University of Colorado is developing a multidisciplinary research partnership on postwar state-building. The goal of the coalition, comprising internationally recognized scholars and policy analysts working on post-conflict stabilization and reconstruction, is to produce a body of work focused on the difficult but vital question of how shorter-

term (two-to-four year) peace operations can evolve into the type of sustained, long-term engagement identified and understood as central to statebuilding.

FUND FOR PEACE, INC., *Washington, DC*

PROJECT TO PROVIDE EARLY WARNING OF STATES AT RISK. TWO YEARS, \$499,900.

The Fund for Peace, which seeks to develop practical responses to the threats that emanate from failing and weak states and ameliorate their effects on civilians, is pioneering a series of software tools that foster transparency about responses to the collapse of states and enable better tracking of lessons learned—allowing people and institutions to engage more effectively in conflict-prevention activities. The first product in the series, Conflict Assessment System Tool (CAST), combines quantitative and qualitative analysis aimed at equipping policymakers with training, methodology and tools for more informed and strategic decisionmaking. Corporation funding is assisting the fund in developing a more advanced version of CAST.

UNIVERSITY OF MARYLAND FOUNDATION, INC.,  
*College Park, MD*

RESEARCH AND TRAINING OF RUSSIAN AND AMERICAN SECURITY EXPERTS. TWO YEARS, \$400,000.

Over the past three years, the University of Maryland's Center for International Security Studies has engaged in a collaborative project with the School of International Security and World Politics at the Institute of U.S.A. and Canadian Studies (ISKRAN) in Moscow, the leading Russian research institute on Russian-American relations. The center has helped ISKRAN to develop course offerings, as well as a two-course sequence for the Maryland School of Public Policy on the past, present and future of global security. During the next phase of the collaboration, the center is undertaking a two-year project in which half of the budget will be used for education-related activities of ISKRAN and half will be used by the center for curricular development on civil conflict, post-conflict reconstruction and other emerging security problems.

PUBLIC INTERNATIONAL LAW AND POLICY GROUP,  
*Arlington, VA*

PROJECT TO PROVIDE PRO BONO LEGAL ASSISTANCE AND POLICY ADVICE TO STATES AT RISK.  
TWO YEARS, \$349,000.

The first years of the 21st century have presented multiple challenges in the field of peace and security, including the number of states at risk of instability, internal conflict and potential collapse. In an age of globalization and transnational threats, chaos and volatility in any part of the world are understood as potential dangers that exceed the borders of particular states. In seeking to prevent the collapse of states at risk or assist in their rehabilitation, the Public International Law and Policy Group is providing pro bono legal assistance to states involved in peace negotiations and drafting post-conflict constitutions. This grant supports research, meetings and publications associated with the project.

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## Higher Education in the Soviet Union

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BARD COLLEGE, *Annandale-on-Hudson, NY*

SMOLNY COLLEGIUM, AN INTERNATIONAL  
INSTITUTE FOR ADVANCED STUDY IN RUSSIA.  
TWO YEARS, \$350,000.

St. Petersburg State University (SPU) is one of Russia's leading reform-oriented universities. In 1996, together with Bard College, SPU created the Smolny College of Liberal Arts—the first academic institution in Russia to offer liberal arts degrees. Smolny College now has formed the Smolny Collegium—an interdisciplinary international institute for advanced study, designed to offer a new physical and intellectual space to facilitate and strengthen scholarly contacts. The collegium is aimed at reconstructing academic networks, stimulating new research, fostering connections between research and teaching and between Russian and U.S. scholars and promoting professional development of Russia's emerging social

scientists and humanists. With Corporation support, the collegium is expanding its programs.

GEORGETOWN UNIVERSITY, *Washington, DC*

RESEARCH AND PUBLICATIONS ON NONTRADITIONAL SECURITY BY THE EUROPEAN UNIVERSITY AT ST. PETERSBURG. TWO YEARS, \$302,000.

The advancement of the social sciences in Russia has been identified by the Corporation as a key element in fostering Russia's transformation toward an effective democracy and a market-oriented economy. This premise lies at the heart of the Corporation-supported Centers for Advanced Study and Education (CASEs) in Russia, created at regional universities with the aim of strengthening academic communities, creating linkages between post-Soviet and Western scholars and bridging the study of social sciences and approaches to contemporary problems in the region. Because the CASEs network does not include one of Russia's most progressive institutions of higher learning—the ten-year-old and non-state European University at St. Petersburg (EU)—Georgetown University, in collaboration with the faculty of EU, is undertaking research, publications and outreach activities on issues of relevance to Russia and the international community.

NATIONAL COUNCIL FOR EURASIAN AND EAST EUROPEAN RESEARCH, *Washington, DC*

ACADEMIC FELLOWSHIPS FOR RUSSIAN SCHOLARS. TWO YEARS, \$630,000.

One characteristic of the post-Soviet academic environment has been the collapse of informal scholarly networks, resulting in a situation where academics in Russia and elsewhere in the region are isolated from their peers at home and abroad. To create a stronger network between Russian and American academics, the National Council for Eurasian and East European Research (NCEEER)—the largest supporter of U.S.-Russian collaborative research in the humanities and social sciences—recruits, selects and places Russian scholars at American universities. Building on the work of the Corporation-created Centers for Advanced Study and Education (CASEs), NCEEER draws scholars from the universities

and the regions where CASEs are located. With continued support, twenty-eight scholars are to take part in the program over the next two years.

SALZBURG SEMINAR IN AMERICAN STUDIES, INC., *Middlebury, VT*

VISITING ADVISORS PROGRAM FOR RUSSIA AND OTHER FORMER SOVIET STATES. TWO YEARS, \$200,000.

Universities in Russia and other former Soviet states are restructuring their administrations and curricula in order to become financially independent and academically competitive. The Visiting Advisors Program of the Salzburg Seminar in American Studies, an international organization with a fifty-year history of promoting the free exchange of ideas, experience and understanding in a multidisciplinary, crosscultural environment, sends teams of university presidents and higher education experts to visit universities in Central and East Europe and the Russian Federation at the host institutions' request to assist in the process of institutional self-assessment and change. With support from the Corporation, the seminar's program is bringing Western expertise to Russian regional universities and strengthening academic linkages between Russia and the West.

UNITED STATES CIVILIAN RESEARCH AND DEVELOPMENT FOUNDATION FOR THE INDEPENDENT STATES OF THE FORMER SOVIET UNION, *Arlington, VA*

BASIC RESEARCH AND HIGHER EDUCATION PROGRAM. TWO YEARS, \$1,000,000.

In 1998, the Corporation joined the John D. and Catherine T. MacArthur Foundation and the Russian Ministry of Education and Science in support of a program aimed at strengthening the research capacity of Russian universities. Managed by the U.S. Civilian Research and Development Foundation for the Independent States of the Former Soviet Union, the Basic Research and Higher Education Program entailed the creation of Research and Education Centers (RECs) within competitively selected Russian universities. The sixteen established RECs carry out research and training and serve as models for transforming Russian universities.

WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS, *Washington, DC*

CREATION OF CENTERS FOR ADVANCED STUDY AND EDUCATION IN RUSSIA. TWO YEARS, \$4,000,000.

Universities in Russia and other post-Soviet states are struggling to establish themselves as purveyors of knowledge and contributors to societal transformation. As such, they have undertaken activities to rejuvenate programs, revamp the traditionally isolated fields of the social sciences and the humanities and increase their capacity to function as independent entities in a market-driven economy. The Corporation, to assist these efforts, has created Centers for Advanced Study and Education (CASEs) in Russia. Based at leading universities, these thematic-based CASEs are designed to promote research, scholarly exchange, publications and access to library resources. The Woodrow Wilson International Center for Scholars is administering the project.

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## Nuclear and Biological Weapons

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UNIVERSITY OF CALIFORNIA, *Berkeley, CA*

PILOT PROJECT TO TRAIN SCIENTISTS TO BE FAMILIAR WITH THE POLICY-RELEVANT ASPECTS OF THEIR RESEARCH. TWO YEARS, \$300,000.

The emerging field of synthetic biology complicates traditional bioweapons policy, which evolved within a context that closely links biological weapons (BW) design with naturally occurring diseases. To address the security challenges posed by synthetic biology, the Berkeley Center for Synthetic Biology at the University of California, Berkeley, is launching a program to foster information exchange and interdisciplinary research by biologists and policy analysts; train a new generation of experts in biosecurity policy; and discuss and coordinate U.S. policy with foreign scientists. Working with the Goldman School of Public Policy, the center is developing workshops, seminars and courses to train students in both science and security policy. This grant is part of a Corporation initiative encouraging collaboration of scientific experts with international security professionals to identify responses to the global BW challenge.

CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE, *Washington, DC*

INITIATIVE TO PROMOTE AN INTERNATIONAL STRATEGY TO PREVENT THE SPREAD OF NUCLEAR WEAPONS. TWO YEARS, \$300,000.

With essential support from the Corporation, the Non-Proliferation Project of the Carnegie Endowment for International Peace conducted research and interviews with American and international proliferation officials and nongovernmental experts. The resulting publication, *Universal Compliance: A Strategy for Nuclear Security*, argues that international support is absolutely vital for the success of global nonproliferation efforts. To ensure that the strategies outlined in *Universal Compliance* help shape the discourse on nonproliferation policy in the United States and around the world, the endowment is launching a series of outreach activities, including a presentation of the strategies at its flagship international nonproliferation conference in November 2005.

CENTER FOR MEDIA AND SECURITY, LTD., *Millwood, NY*

FORUMS FOR JOURNALISTS ON DEFENSE AND INTERNATIONAL SECURITY ISSUES. TWO YEARS, \$100,000.

To foster in-depth and far-reaching coverage of international security issues, the Defense Writers Group of the Center for Media and Security holds bimonthly on-the-record briefings for a regular group of international security reporters, United States Department of Defense personnel and international figures. The center, a nonprofit organization based in New York, aims to raise public awareness about American foreign policy and its implications in relation to the formidable security challenges facing the United States and the international community.

CENTER FOR STRATEGIC AND INTERNATIONAL STUDIES, INC., *Washington, DC*

PROJECT ON BIOLOGICAL WEAPONS THREAT REDUCTION. TWO YEARS, \$550,000.

The threat of biological weapons use is a global problem with international implications, but there is as yet no concerted action among concerned constituencies and no global mechanism in existence to coordinate individual efforts. The Center for Strategic and International Studies has designed a conceptual model, called the Biological Threat Reduction Project, to recruit and build an international consortium of think tanks, scientific, public health and safety organizations, universities and individuals focused on threat reduction activities and develop an agenda for a global approach to biological threat-reduction.

CENTER FOR STRATEGIC AND INTERNATIONAL STUDIES, INC., *Washington, DC*

STUDY GROUP MEETINGS ON COUNTERING THE PROLIFERATION OF WEAPONS OF MASS DESTRUCTION IN THE ASIA PACIFIC. THREE YEARS, \$285,000.

Since 1993, the Center for Strategic and International Studies has promoted multilateral discussions on a host of sensitive proliferation issues through its leadership role in the Council for Security Cooperation in the Asia Pacific (CSCAP), a forum of member committees based in twenty-one countries in the region. As the longest running and most broadly-based unofficial diplomatic dialogue in the region, CSCAP has been able to sustain the high-level involvement of current and former officials, including specialists from both North and South Korea, China and Taiwan. Building on the accomplishments of a previous study group on security-building measures in the region, the U.S. Committee of CSCAP has launched a new effort to develop policy recommendations aimed at countering the proliferation of weapons of mass destruction and related threats.

INSTITUTE FOR INTERNATIONAL STUDIES, *Washington, DC*

ASSESSING THE CAPABILITIES OF THE INTERNATIONAL ATOMIC ENERGY AGENCY. ONE YEAR, \$199,100.

To undertake a systematic analysis of the International Atomic Energy Agency's (IAEA) formal role as the major international body charged

with verifying compliance with the Nuclear Non-Proliferation Treaty, the Nonproliferation Policy Education Center, a project of the Institute for International Studies, is conducting an examination to clarify which civilian nuclear activities and materials are currently safeguarded by the agency against military diversion. In addition, the study will explore what the agency's safeguards system could achieve with modest reforms and technical upgrades. The project's primary goal is to increase the prospects for IAEA reform by presenting its findings to key policymakers and journalists in the United States and Europe.

MASSACHUSETTS INSTITUTE OF TECHNOLOGY, *Cambridge, MA*

SUPPORT OF THE SECURITY STUDIES PROGRAM. ONE YEAR, \$400,000.

The Security Studies Program (SSP) at Massachusetts Institute of Technology conducts public education, policy analysis and graduate student training in the field of international security. To nurture the next generation of security scholars and experts in a field that has undergone significant change since the end of the Cold War and, especially, since September 11, 2001, when the threat of nuclear proliferation became linked to the terrorist threat, SSP coursework emphasizes grand strategy, technology, arms control and policymaking issues. The SSP faculty includes natural scientists and engineers as well as social scientists. A special feature of the program is the integration of technical and political analyses in studies of international security problems.

MONTEREY INSTITUTE OF INTERNATIONAL STUDIES, *Monterey, CA*

EDUCATION AND TRAINING ON NUCLEAR NONPROLIFERATION. TWO YEARS, \$400,000.

The Center for Nonproliferation Studies (CNS), based at the Monterey Institute of International Studies, pursues the use of education as a nonproliferation tool, especially in the post-Soviet states and China. Its aim has been to establish a growing and increasingly interconnected international community of nonproliferation specialists as a means of bringing

about more effective national policies to prevent the spread of weapons of mass destruction and their use by both state and nonstate actors. Over the next two years, CNS is conducting training programs with particular emphasis on the closed Russian nuclear cities and the non-Russian successor states.

NATIONAL ACADEMY OF SCIENCES,  
*Washington, DC*

A PROGRAM ON ENHANCING BIOSCIENCE IN THE FORMULATION AND IMPLEMENTATION OF U.S. FOREIGN POLICY. TWO YEARS, \$400,000.

The Jefferson Science Fellows program at the U.S. Department of State (DOS) selects tenured senior academic scientists and engineers from U.S. institutions of higher learning to spend a year at DOS for an on-site assignment in Washington, D.C., that may also involve extended stays at U.S. foreign embassies or missions. The fellows provide up-to-date expertise about the rapidly advancing science and technology field that routinely has an impact on policy decisions as they become acquainted with the functional operation of DOS. When they return to their academic careers following their tenure at the Department of State, the fellows remain available for five additional years to the U.S. government as experienced consultants for short-term projects. The National Academy of Sciences administers the project.

UNIVERSITY OF THE PACIFIC, *Stockton, CA*

ONE-TIME FUNDING FOR THE STUDY OF INTERNATIONAL DOMESTIC LEGISLATION TO SUPPLEMENT THE BIOLOGICAL WEAPONS TREATY. EIGHTEEN MONTHS, \$249,800.

The inherent inadequacies of the biological weapons treaty, especially its inapplicability to nonstate actors using biological weapons (BW), have prompted efforts to supplement the treaty. A prime example is United Nations Resolution 1540, which urges individual states to use the most effective possible domestic legislation to address this threat. Since no baselines exist for determining what a country must do to satisfy its legal obligation under the resolution, it is impossible to assess the adequacy of this legislation. Barry Kellman, who directs the

Consortium on Law and Strategic Security at the University of the Pacific, has designed a project to assess countries' legal systems pertaining to BW proliferation. Through a complete analysis of BW monitoring and controlling laws, the study aims to provide the groundwork essential for further research and action in the areas of BW criminalization.

PRINCETON UNIVERSITY, *Princeton, NJ*

SEMINAR SERIES TO ENCOURAGE INTEGRATION BETWEEN MEMBERS OF THE LIFE SCIENCE AND SECURITY STUDIES RESEARCH COMMUNITIES. TWO YEARS, \$250,000.

A recent National Academy of Sciences panel report urged the creation of a comprehensive set of guidelines that would minimize the potential for the misuse of biotechnology and bioscience by encouraging channels of sustained communication between national security policy experts and life scientists. In response, Princeton University's Program for Science and Global Security organized a series of seminars and workshops for its life sciences community. With this renewed grant, the project has branched out to include participants and advisors from the University of Medicine and Dentistry of New Jersey and Rutgers University. Like the Corporation's support to the University of California, Berkeley, this grant is part of a Corporation initiative to encourage the collaboration of scientific experts with international security professionals to identify responses to the global biological weapons challenge.

SOCIAL SCIENCE RESEARCH COUNCIL,  
*New York, NY*

PROJECT ON UNOFFICIAL DIPLOMACY FOCUSED ON NORTHEAST ASIA. TWO YEARS, \$225,000.

North Korea's nuclear and other weapons programs pose a grave challenge to the global nonproliferation regime and to peace and security in Northeast Asia. Unfortunately, for a variety of reasons, the official, multilateral Six-Party Talks have become stalemated. Building on its decade-long involvement in the region, the Social Science Research Council's Northeast Asia Cooperative Security Project seeks to overcome skepticism about the possibility and desir-



ability of a negotiated end to North Korea's destabilizing and dangerous weapons programs through continuation of Track II diplomacy, which provides a forum for examining problems and options that official negotiators might be constrained from exploring.

HENRY L. STIMSON CENTER, *Washington, DC*

PROJECT TO EDUCATE POLICYMAKERS ON CURRENT SECURITY ISSUES. TWO YEARS, \$100,000.

Security for a New Century, a program of the Henry L. Stimson Center, was established in 1998 as a bipartisan study group to educate Congressional staff about the significant challenges confronting the United States in the post-Cold War era. Since then, it has evolved into a three-part program, with all three components seeking to engage and educate on issues of peace and security. To foster constructive dialogue and enhance understanding of complex security issues, the program provides ongoing educational forums for members of Congress. The sessions approach international security issues with a broad definition, highlighting—among other things—innovative programs, interagency operations and cooperative engagement. Speakers are international policy professionals, including federal employees, representatives of international organizations, authors and other policy experts who have recent on-the-ground experience in their particular fields.

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## U.S.-Russia Cooperation

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AMERICAN FOREIGN POLICY COUNCIL,  
*Washington, DC*

FINAL GRANT TOWARD U.S. CONGRESS-RUSSIA DUMA STUDY GROUP. TWO YEARS, \$150,000.

The American Foreign Policy Council—a nongovernmental organization working to promote exchanges between the United States and Russia—administers the American side of a U.S. Congress-Russia Duma study group aimed at fostering regular interaction between the U.S. House of Representatives and the Russian State Duma. With renewed support from the Corporation, the

council is bringing together Russian and American legislators and their staff members to discuss issues of relevance to both countries; the biannual study group meetings will be divided into eight working group sessions on various topics, including foreign affairs and international security, organized crime, corruption and terrorism, energy, trade, ecology, education, healthcare and agriculture. As a new project element, the study group meetings will be supplemented with videoconferences, allowing for deeper discussions of issues and the participation of interested legislators who would not normally participate in week-long international trips.

ASPEN INSTITUTE, INC., *Washington, DC*

INTERNATIONAL ACTIVITIES OF THE CONGRESSIONAL PROGRAM. ONE YEAR, \$609,400.

The Aspen Institute's Congressional Program is designed to promote informed leadership on selected public policy issues in the United States Congress. The program's series on U.S.-Russian-European cooperation is aimed at providing key lawmakers with detailed information and analysis of Russian affairs and the prospects for U.S. and European engagement with Russia. The annual conferences, held in Europe, bring together U.S. legislators from the House and Senate and American, European and Russian academic and policy specialists. Each conference results in a detailed report, which is published along with the papers presented at the conference. The conferences are supplemented by a regular breakfast series on Capitol Hill. With renewed support, the institute is holding the next conference in the series in Dublin in August 2005.

CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE, *Washington, DC*

CARNEGIE MOSCOW CENTER. TWO YEARS, \$800,000.

The Carnegie Moscow Center, established in 1993 by the Washington, DC-based Carnegie Endowment for International Peace, was created to promote intellectual collaboration between scholars and policy experts in Russia, the other post-Soviet states and other nations, including the United States; provide independent analysis on a wide array of public policy

issues; and offer an independent forum for policy-related discussion. At the core of the center's interests are U.S.-Russian relations and Russia's integration into Western political, economic and security arrangements. The center's workshops, study groups and conferences result in published reports, books, a bimonthly periodical and a quarterly policy journal.

CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE, *Washington, DC*

ONE-TIME SUPPORT FOR DEVELOPING A MODEL FOR U.S.-RUSSIAN COOPERATION ON NONPROLIFERATION AND COUNTERTERRORISM IN IRAN.

ONE YEAR, \$325,000.

Since 1992, the United States and Russia have cooperated to secure Russian nuclear materials and warheads and eliminate Russian nuclear weapons systems. These activities, conducted under the Cooperative Threat Reduction program, were largely based on a model of assistance, in which the United States provided funds, set priorities and managed the activities. A new project of the Carnegie Endowment for International Peace is exploring opportunities for U.S.-Russian cooperation that focuses on nonproliferation in Iran. Through research and workshops, members of the project are exploring the political, technical and economic prospects in stemming Iran's nuclear program.

CENTER FOR STRATEGIC AND INTERNATIONAL STUDIES, INC., *Washington, DC*

RUSSIA AND EURASIA PROGRAM.

TWO YEARS, \$500,000.

The Center for Strategic and International Studies' Russia and Eurasia Program undertakes research, publications and policy outreach on a set of domestic and international security issues of relevance to Russia's future, U.S.-Russian relations, and U.S. relations with other post-Soviet states. The program also manages the Program on New Approaches to Russian Security (PONARS)—a network of Russian and American security specialists that seeks to bridge the policymaking communities in the two countries.

UNIVERSITY OF GEORGIA, *Athens, GA*

FINAL GRANT FOR A PROJECT FOR RUSSIAN AND AMERICAN LAWMAKERS TO BETTER UNDERSTAND NONPROLIFERATION AND NEW SECURITY THREATS. TWO YEARS, \$250,000.

To assist the Russian government in coping with the threat of terrorism—the face of which was altered by the Beslan hostage crisis—the Center for International Trade and Security at the University of Georgia is hosting a series of educational and outreach activities designed to improve Russian legislators' recognition of new security threats and promote an adequate legal framework to counter them. On this project, the center is working with the Moscow Center on Export Control, the leading Russian nongovernmental organization involved in proliferation control outreach; the Institute of World Economy and International Relations, the Russian Academy's arm for social, political and economic research and education; and the American Foreign Policy Committee, which is also receiving Corporation support.

INTERNEWS NETWORK, *Arcata, CA*

FINAL GRANT FOR A PROJECT ON INFORMATION SECURITY POLICY IN RUSSIA. TWO YEARS, \$140,000.

Internews Network—an international nongovernmental organization that promotes open media and access to information—is completing a project on information security and Russia's developing technological sector. As Russia develops its technology sector to advance domestic transformation, information security is emerging as a concern for the government—conservative elites advocate limiting access to information technology as a means of protecting national security, but, if implemented, such control measures would hamper Russia's political and economic advancement and stifle prospects for the global integration of its economy and society. With continued Corporation support, a team of Russian and American experts on information technology are undertaking research and other activities, including monitoring, analysis and outreach on ways to meet the competing demands for the advancement of information technology and the

preservation of national security. The project is to result in publications aimed at Russian policymakers and experts in the field in the United States.

MERCY CORPS, *Portland, OR*

PROJECT ON STRENGTHENING HUMAN CAPITAL IN THE FORMER SOVIET UNION. TWO YEARS, \$500,000.

The Momentum Program: Changing Leadership Culture in the Former Soviet Union, a project of Mercy Corps' Conflict Management Group, is an initiative that strengthens the policy development and leadership skills of young leaders from different sectors of the former Soviet Union. The program entails a series of workshops, held in the region and the United States, focusing on economic development, educational reform, anticorruption, effective media and responsive public administration. Corporation funds are supporting four workshops in Cambridge, Massachusetts, and several "train the trainer" workshops to be held in the region, with the aim of assisting the program to expand its reach and ultimately transfer management to local experts.

MOSCOW SCHOOL OF POLITICAL STUDIES,  
*Moscow, Russia*

PROJECT TO STRENGTHEN DEMOCRATIC INSTITUTIONS AND CIVIL SOCIETY IN RUSSIA. TWO YEARS, \$230,000.

The Moscow School of Political Studies was created in 1992 to promote the development of democratic institutions and civil society in Russia. Striving to support Russia's transformation by helping to strengthen its democratic culture and institutions, the school holds seminars for Russia's young political decisionmakers and leaders, including elected parliamentarians, members of regional legislatures, executives of regional governments and journalists. To date, the school has organized 100 seminars, reaching over 6,000 participants. With continued support, ten seminars over the next two years will be conducted, which will annually reach about 600 participants.

WORLD SECURITY INSTITUTE, *Washington, DC*

ELECTRONIC NEWS SERVICES ON CONTEMPORARY RUSSIA. TWO YEARS, \$315,000.

Over a decade after the collapse of the Soviet Union, Russia's progress toward democracy, a market economy and civil society remains slow and uneven. Because the future of Russia is of great importance to the United States, the Center for Defense Information, now known as the World Security Institute, promotes wide-ranging discussion and debate within the United States on Russian domestic and foreign policy developments, including policy developments on nuclear weapons, space security, missile defense, small arms and military transformation. Since 1998, the most comprehensive source of information and analysis on Russia has been generated by the center through three online publications: Johnson's Russia List (JRL); the Research and Analytical Supplement (RAS); and the Washington ProFile (WPF). These English- and Russian-language publications offer information on Russia and serve as resources for policymakers and the public.

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## Discretionary Grants

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BROWN UNIVERSITY, *Providence, RI*

FIVE-MONTH GRANT OF \$25,000 TOWARD A WORKSHOP ON CREATING A NEW GLOBAL SECURITY AGENDA

BULLETIN OF THE ATOMIC SCIENTISTS,  
*Chicago, IL*

ONE-YEAR GRANT OF \$50,000 TOWARD SUPPORT

CARNEGIE COUNCIL ON ETHICS AND  
INTERNATIONAL AFFAIRS, *New York, NY*

ONE-YEAR GRANT OF \$25,000 FOR A SEMINAR SERIES ON FOREIGN POLICY

CENTER FOR STRATEGIC AND INTERNATIONAL STUDIES, INC., *Washington, DC*

FOUR-MONTH GRANT OF \$25,000 FOR RESEARCH, MEETINGS AND RE-PUBLICATION OF A BOOK ON NUCLEAR NONPROLIFERATION

COLUMBIA UNIVERSITY, *New York, NY*

ONE-YEAR GRANT OF \$50,000 TOWARD THE GULF 2000 PROJECT

DAYTON PEACE ACCORDS PROJECT, *Medford, MA*

THREE-MONTH GRANT OF \$25,000 TOWARD A WORKSHOP AND CONSULTATIONS ON THE IMPLEMENTATION OF THE DAYTON PEACE ACCORDS

EUROPEAN INSTITUTE INC., *Washington, DC*

SEVEN-MONTH GRANT OF \$25,000 TOWARD A TRANSATLANTIC CONFERENCE ON BIOSECURITY

GLOBAL SECURITY INSTITUTE, *San Francisco, CA*

ONE-YEAR GRANT OF \$50,000 AS ONE-TIME FUNDING TOWARD A CONFERENCE TO REVIEW THE NON-PROLIFERATION TREATY

INTERNATIONAL INSTITUTE FOR STRATEGIC STUDIES, *London, United Kingdom*

THREE-MONTH GRANT OF \$20,000 TOWARD A CONFERENCE ON INTERNATIONAL RESPONSES TO IRAN'S NUCLEAR PROGRAM

MASSACHUSETTS INSTITUTE OF TECHNOLOGY, *Cambridge, MA*

THIRTEEN-MONTH GRANT OF \$24,900 FOR A SEMINAR SERIES ON BIOSECURITY AND NATIONAL SECURITY

MONTEREY INSTITUTE OF INTERNATIONAL STUDIES, *Monterey, CA*

FIVE-MONTH GRANT OF \$25,000 FOR A STUDY ON THE SECURITY IMPLICATIONS OF SYNTHETIC BIOLOGY

NATIONAL DEFENSE UNIVERSITY FOUNDATION, INC., *Washington, DC*

ONE-YEAR GRANT OF \$25,000 FOR THE GEORGE KOLT SEMINAR SERIES ON ASSESSING RUSSIA'S FUTURE

NONVIOLENT PEACEFORCE, *Minneapolis, MN*

SIX-MONTH GRANT OF \$25,000 TOWARD UNARMED PEACEKEEPING ACTIVITIES IN SRI LANKA

NORTH-SOUTH INSTITUTE, *Ottawa, Canada*

ONE-YEAR GRANT OF \$25,000 TOWARD RESEARCH AND DISSEMINATION ON EXTERNAL INTERVENTION IN STATES AT RISK

UNIVERSITY OF PITTSBURGH, *Pittsburgh, PA*

EIGHTEEN-MONTH GRANT OF \$25,000 TOWARD A GLOBAL ACADEMIC PARTNERSHIP ON EXPLORING STATES AT RISK

WILTON PARK, *West Sussex, United Kingdom*

FIVE-MONTH GRANT OF \$25,000 TOWARD A CONFERENCE ON INTERNATIONAL RESPONSES TO BIOLOGICAL WEAPONS PROLIFERATION

WOMEN'S LEADERSHIP FUND, *New York, NY*

SEVEN-MONTH GRANT OF \$25,000 TOWARD A PROJECT ON FRESH APPROACHES TO GLOBAL SECURITY

YALE UNIVERSITY, *New Haven, CT*

TWO-YEAR GRANT OF \$50,000 TOWARD PUBLISHING A VOLUME OF THE STALIN ARCHIVES IN THE ANNALS OF COMMUNISM SERIES

YALE UNIVERSITY, *New Haven, CT*

TWO-YEAR GRANT OF \$25,000 TOWARD AN INTERNATIONAL SCHOLARLY CONFERENCE ON SOVIET SOCIETY

# Strengthening U.S. Democracy

## Campaign Finance Reform

DEMOCRACY 21 EDUCATION FUND,  
*Washington, DC*

FINAL GRANT TOWARD SUPPORT.  
TWO YEARS, \$200,000.

Democracy 21 Education Fund aims to provide nonpartisan information on soft money contributions—unregulated political funds raised from corporations, unions and individuals—and on the ways in which soft money affects the democratic process. The fund's outreach activities include a media campaign that targets journalists, locally and nationally, through op-ed articles, editorials, press releases and background papers. Corporation funds are being used to support work on a national communication, education and coalition building effort that focuses on the Federal Election Commission (FEC), including closing the loophole for 527 groups and educating the public about the need for a stronger enforcement agency.

GEORGETOWN UNIVERSITY, *Washington, DC*

JUSTICE AT STAKE'S STATE-BASED COALITION BUILDING AND PUBLIC EDUCATION AROUND JUDICIAL CAMPAIGN FINANCING. TWO YEARS, \$200,000.

Founded at Georgetown University in 2000, the Justice at Stake campaign is a national, nonpartisan partnership that aims to protect and promote judicial independence through public education, civic engagement and campaign finance reform. The campaign's partners, many of whom are Corporation grantees, work to reduce the power of money and special interests in the appointment of judges, shield the courts and judges from excessive partisan pressure and provide the public with the information needed to support independent courts. Among other activities, Justice at Stake is advancing a coherent, national strategy on judicial campaign reform, coordinating support for North Carolina's

historic judicial public financing breakthrough and helping reformers organize in other states.

NATIONAL INSTITUTE ON MONEY IN STATE POLITICS, *Helena, MT*

FINAL GRANT TOWARD SUPPORT. ONE YEAR, \$250,000.

Founded with support from the Corporation and modeled on the Center for Responsive Politics, which operates at the federal level, the National Institute on Money in State Politics provides unbiased documentation and research on campaign finance at the state level. Through the institute's searchable database and online reports, academics, activists, journalists, attorneys and citizens can access accurate and timely information and analysis on state-based donor and campaign-spending activities. The institute uses its multistate, multiyear databases to research trends in political giving, examine how contributions drive public policy debates in the states and the nation, and study special interests across state lines. Each two-year election cycle, the institute develops and posts a complete fifty-state contribution record at [www.followthemoney.org](http://www.followthemoney.org).

PROTEUS FUND, INC., *Amherst, MA*

SUPPORT OF ITS STATE-LEVEL CAMPAIGN FINANCE REFORM GRANTMAKING PROGRAM.  
TWO YEARS, \$400,000.

Founded in 1997, the Piper Fund, a project of the Proteus Fund, supports local and state-based campaign finance reform efforts. Comprising an alliance of foundations and donors, the fund collaborates with an expanding field of constituents to understand the ways in which money distorts politics and, ultimately, to secure and expand public financing of campaigns. After six years of operation marked by key advances in several states, Piper's grantmaking and capacity-building programs over the next two years are designed to expand the base of research, public education and coalition building needed at the state level to advance and defend campaign finance reform, develop conceptual frames

and messages about public financing that have broad impact and launch public education strategies in states where programs are being implemented.

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## Immigrant Civic Integration

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ARAB AMERICAN INSTITUTE FOUNDATION,  
*Washington, DC*

STRENGTHENING CAPACITY TO SUSTAIN ARAB  
AMERICAN CIVIC INTEGRATION. ONE YEAR, \$118,000.

Founded in 1985, the Arab American Institute fosters a more visible and active role for Arab Americans in civic life by mobilizing resources, providing leadership development and working with party officials. In 1996, the institute established the Arab American Institute Foundation to support public education outreach on the role of the Arab American community in the United States. Together, these institutions work to advance the civic education and political participation of Americans of Arab descent. In the wake of the September 11th tragedy, the foundation dramatically expanded its scope of work to include advocacy, community meetings, educational outreach to the public, hate crimes research, public service announcements and polling around civil rights, safety and other issues affecting Arab Americans. Corporation funds are being used toward strengthening management and program capacity.

ASIAN PACIFIC AMERICAN LEGAL CENTER OF  
SOUTHERN CALIFORNIA, INC., *Los Angeles, CA*

NATIONAL DEMOGRAPHIC PROFILE OF THE ASIAN  
PACIFIC ISLANDER COMMUNITY. ONE YEAR, \$100,000.

Data from the 2000 Census show the tremendous growth of Asian American communities around the country. This population is diverse, encompassing at least forty-seven distinct ethnic groups, more than twenty-eight languages and a multitude of cultures. Using Census 2000 data and building on its well received demographic profile of Asian American and Pacific Islander (API) communities in Los Angeles, the Asian Pacific American Legal Center of Southern California is developing a nationwide API

demographic profile, focusing specifically on cities and states with the fastest growing API populations. The profile, which is to provide data on Asian ethnic and immigrant groups, will be an important resource for service providers, government leaders, educators, business leaders, policymakers and the media.

CENTER FOR COMMUNITY CHANGE,  
*Washington, DC*

CIVIC PARTICIPATION WORK AMONG LOW-INCOME  
IMMIGRANTS IN THE STATES. TWO YEARS, \$450,000.

Traditional gateway states, such as California, Florida, New York and Texas, continue to host and integrate large and active immigrant communities, but states in the Southeast and Midwest have also become important gateway states in recent decades. The Center for Community Change is working with grassroots immigrant organizations to help change state and local policies that may be barriers to the civic and economic integration of these newcomers. Members of the project are focusing efforts on increasing civic engagement and electoral capacity in immigrant communities, encouraging organizations that provide support to immigrants to participate in public policy activities and conducting outreach activities on barriers to immigrant civic participation.

HARVARD UNIVERSITY, *Cambridge, MA*

RESEARCH ON DIVERSITY, IMMIGRATION, INEQUALITY  
AND SOCIAL CAPITAL. TWO YEARS, \$150,000.

Recent work on immigrant integration by Harvard University's John F. Kennedy School of Government examines a common misconception: that so-called "ethnic enclaves" keep immigrants well-connected to each other and that intra-ethnic ties come at the expense of ties to society. Data from the Kennedy School's Social Capital Community Benchmark Survey suggest that practical efforts to link immigrants to one another are as needed as efforts to integrate them into broader society. Harvard's social capital team is conducting further research on diversity, immigration, inequality and social capital with the goal of identifying ways to increase social capital in immigrant communities and foster immigrant civic integration.

UNIVERSITY OF MICHIGAN, *Ann Arbor, MI*

NATIONAL STUDY OF ETHNIC PLURALISM AND POLITICS  
IN AMERICAN DEMOCRACY. ONE YEAR, \$169,500.

Researchers at the University of Michigan who are undertaking a national study of ethnic pluralism and politics in American democracy are gathering comparative data from ethnic and racial minorities about political attitudes, beliefs, aspirations and behaviors. The goal is to identify policy and candidate preferences, party attachments, the nature of policy concerns and the extent of political participation. The completed datasets will be disseminated to experts in the social science field through the Inter-University Consortium for Political and Social Science Research and made available on CD-ROM.

MIGRATION POLICY INSTITUTE, *Washington, DC*

NATIONAL EXAMINATION OF IMMIGRATION POLICY.  
TWO YEARS, \$350,000.

Migration Policy Institute provides analysis, development and evaluation of immigrant and refugee policies at the local, national and international level. Because every major sector in the United States—political, economic (and particularly labor markets), social and cultural—is deeply affected by and in turn affects immigration policy, the institute is undertaking a major initiative to examine the ways in which immigrant and refugee integration strengthen U.S. democracy. The project entails three components: compilation of policy briefs on the current U.S. immigration and naturalization system; a bipartisan task force to study and make recommendations for improving the current system; and a communication and public outreach strategy to ensure that an informed debate on immigration takes place among policymakers, the news media and the public.

NALEO EDUCATIONAL FUND, INC.,  
*Los Angeles, CA*

IMMIGRANT CIVIC EDUCATION PROJECT.  
TWO YEARS, \$375,000.

Since 1981, the NALEO Educational Fund has led a bipartisan effort to promote nationwide political participation of Latinos. The fund conducts research on

issues important to the Latino population, develops and implements programs that encourage and train future leaders among Latino youth and provides assistance to the nation's Latino elected and appointed officials. The fund's civic education program offers naturalization assistance, undertakes activities designed to remove structural barriers to voter participation among both native and foreign-born Latinos, advocates for Latinos' access to government and elected officials and conducts voter education, mobilization and advocacy in targeted communities. A small portion of Corporation funding is supporting a strategic review of NALEO's programs and mission.

NATIONAL ASIAN PACIFIC AMERICAN LEGAL  
CONSORTIUM, *Washington, DC*

ONE-TIME SUPPORT TOWARD ITS COALITION BUILDING  
AND ADVOCACY ON IMMIGRANT RIGHTS.  
ONE YEAR, \$200,000.

Founded in 1991, the National Asian Pacific American Legal Consortium—now known as the Asian American Justice Center—works to advance the human and civil rights of Asian Americans through advocacy, public policy, public education and litigation. In accomplishing its mission, the center has become one of the nation's leading experts on issues of importance to the Asian American community including affirmative action, anti-Asian violence prevention, census, immigrant rights, immigration, language access and voting rights. After the September 11th, 2001, terrorist attacks on the United States, the center's immigration and immigrant rights project, which pursues fair, generous and nondiscriminatory immigration policies, began a project to focus on the legal and civil rights of Asian Americans that have become implicated in and challenged by a host of policies meant to fight terrorism.

NATIONAL COUNCIL OF LA RAZA, *Washington, DC*

LATINO NATURALIZATION, VOTER REGISTRATION AND  
EDUCATION PROGRAM. TWO YEARS, \$300,000.

Through a set of targeted and sustained public education activities, the National Council of La Raza (NCLR) aims to significantly increase naturalization, voter registration, civic engagement and voter

turnout among Latino voters. Working in states across the country, NCLR—which has a long history of advancing policies and practices aimed at removing barriers to naturalization and electoral participation—forms partnerships with local community-based organizations to identify Latino voters and implement public education campaigns designed to register new and unlikely voters, in particular.

NATIONAL IMMIGRATION FORUM, INC.,  
*Washington, DC*

IMMIGRANT CIVIC INTEGRATION POLICY AND PUBLIC EDUCATION ACTIVITIES. TWO YEARS, \$500,000.

Established in 1982, the National Immigration Forum is the nation's leading immigrant advocacy organization, with a membership of 250 national and local organizations representing immigrant, ethnic, religious, civil rights, labor, business, and state and local government interests. Through bipartisan partnerships, the forum advocates for public policies that reunite families, strengthen civil rights and civil liberties, assist refugees, advance citizenship and revitalize communities. Corporation funds are being used to support the forum's immigrant civic integration policy work, which includes coalition building, strategic communications and public education and outreach.

UNIVERSITY OF NOTRE DAME, *Notre Dame, IN*

SURVEY RESEARCH AND DISSEMINATION ON LATINO INCORPORATION IN THE UNITED STATES.

TWO YEARS, \$100,000.

Over the last three decades there have been three significant changes in the Latino population in the United States: it is more than 40 percent foreign-born; it is increasingly diverse in terms of national origin; and it is dispersed throughout the United States. In 2005, the Latino National Survey Team conducted a national, sixteen-state stratified survey of the U.S. Latino population under the auspices of the Institute for Latino Studies at the University of Notre Dame. The goal of the survey is to study the diversity of the Latino population—by generation, national origin and place of residence—to assess potential challenges to

civic integration in new receiving cities and states. Research results are to be widely disseminated.

PUBLIC INTEREST PROJECTS, *New York, NY*

A FUNDER COLLABORATIVE ON IMMIGRANT CIVIC INTEGRATION. ONE YEAR, \$550,000.

According to the 2000 U. S. Census, there are twice as many immigrants in the United States now as there were in 1970, with one third of those counted having arrived in the last ten years. Importantly, many of these newcomers have been moving to new gateway destinations, such as Georgia, Nebraska, Nevada and North Carolina. The Four Freedoms Fund, a project of Public Interest Projects, is a collaboration of individual donors and foundations that pools funds and makes grants in support of state and local organizations working to increase and encourage immigrant civic integration, particularly in new immigrant-receiving states and regions. Fund grants also support capacity building within communities, especially in those directly affected by post-9/11 public policies, including support for strategic planning, board development, volunteer management, fundraising, technical upgrades, policy analysis, working with elected officials, language translation, organizing and media training.

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## Strengthening the Nonprofit and Philanthropic Sector

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ALLIANCE FOR JUSTICE, *Washington, DC*

PUBLIC EDUCATION EFFORTS AMONG FUNDERS ON SUPPORTING ADVOCACY. TWO YEARS, \$200,000.

Although providing support to nonprofit organizations that advocate for public policies or regulations that address complex issues in more systemic ways can significantly leverage funders' investments, only a handful of funders provide such support. The Alliance for Justice, a national association of nonprofit umbrella groups, provides training and educational materials to foundations and other institutional funders about how they can participate in and fund public interest advocacy with the goal



of achieving their philanthropic missions. With Corporation support, the alliance is increasing the number of trainings they provide to funders on appropriate and effective support of advocacy, developing new materials for funders engaged in particular issue areas, creating web-based tools that can reach wider audiences and launching a communications strategy designed to educate the broader philanthropic community about the importance of supporting nonprofit advocacy.

CHARITY LOBBYING IN THE PUBLIC INTEREST,  
*Washington, DC*

SUPPORT. TWO YEARS, \$250,000.

Learning how to advocate for regulations, laws and funding streams that will benefit nonprofits' constituencies has become an increasingly critical component of nonprofit capacity building and essential to nonprofit survival. As the only national organization with a sole focus on training and educating nonprofits about the important and appropriate role that lobbying can play in serving their missions, Charity Lobbying in the Public Interest (CLPI) offers educational materials and resources for thousands of nonprofits nationwide. CLPI is streamlining its work by developing a network to work with and train the lead agencies of major nonprofits with numerous affiliates, launching a national messaging campaign around the importance of nonprofit participation in the public policy process and creating a fellows program to train the trainers.

INDEPENDENT SECTOR, *Washington, DC*

PUBLIC POLICY ACTIVITIES.

EIGHTEEN MONTHS, \$200,000.

Established in 1980, Independent Sector is a nonpartisan coalition of approximately 500 organizations that leads, strengthens and mobilizes the charitable and philanthropic community, advocating for and providing assistance to the nonprofit sector. To address increased scrutiny of nonprofit organizations and concerns about accountability, the sector is broadening its government affairs and public policy activities. In addition to educating policymakers about issues affecting the nonprofit sector and

establishing a stronger communications network, the sector is advocating for policy-related recommendations put forward by a national independent panel it recently established and launching a new network that will convene national, state and local advocates to take action on key issues affecting the sector.

NETWORK FOR GOOD, *Vienna, VA*

ONE-TIME SUPPORT TOWARD IMPROVING ONLINE SERVICES THAT PROMOTE CHARITABLE DONATIONS.

ONE YEAR, \$100,000.

Founded in 2001 by the Time Warner Foundation and AOL, Inc., the Cisco Foundation and Cisco Systems, Inc., and Yahoo! Inc., Network for Good is an online nonprofit charitable resource where individuals can donate, volunteer and get involved with the issues they care about. The network's goal is to connect people to charities through the Internet and to advance nonprofit organizations' capacity to use the Internet as a tool for fundraising, volunteer recruitment and community engagement. With Corporation support, the network is developing an expanded tool set to assist nonprofits in maintaining an online presence, receiving donations and recruiting volunteers through their web sites, developing effective databases of donors and volunteers and reaching the public through the network's media and Internet partners.

NPOWER, *Seattle, WA*

AN EVALUATION OF TECHNOLOGY CAPACITY-BUILDING EFFORTS IN THE NONPROFIT SECTOR.

THREE YEARS, \$150,000.

Grantmakers, including the Corporation, have invested considerable resources in strengthening the nonprofit sector's technological capacity. To determine the extent to which such investments have increased the capacity of nonprofit organizations to achieve their goals, NPower, one of the largest nonprofit technology assistance providers in the United States, is undertaking a national, multi-year evaluation to measure the impact of technology on the mission of nonprofits and assess the extent to which the technical assistance provided by intermediaries, such as NPower, benefits nonprofits. A set of

evaluation tools that nonprofit technology assistance providers and nonprofits themselves can use to assess technology capacity will also be produced.

THE URBAN INSTITUTE, *Washington, DC*

EXPANSION OF A NATIONAL NONPROFIT DATA COLLECTION AND ANALYSIS SYSTEM.

TWO YEARS, \$300,000.

Created in 1996 at the Urban Institute's Center on Nonprofits and Philanthropy, the National Center for Charitable Statistics has become a central component of the nonprofit sector's infrastructure by collecting all relevant data about nonprofit organizations and the sector from a variety of sources—including GuideStar, a Corporation-supported grantee that offers free access to nonprofits' IRS 990 forms—and then culling and standardizing these data for use at little or no charge by researchers, journalists and others. Corporation support is helping the center to enhance its data-collection capacity, make its web site databases more user friendly, create standard sets of typologies and taxonomies for the sector and lead a national coalition to encourage nonprofits to file 990 forms electronically that will help streamline the data collection process.

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## Voting Reform and Education

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AMERICAN ASSOCIATION OF PEOPLE WITH DISABILITIES, *Washington, DC*

ELECTORAL REFORM AND VOTER PARTICIPATION ACTIVITIES IN THE DISABLED COMMUNITY.

TWO YEARS, \$200,000.

Of the 35 million people with disabilities in the United States who are eligible to vote, only 41 percent cast votes in the 2000 U.S. presidential election, a voter turnout that is 11 percent lower than voter turnout in the same election of people who are not disabled. Founded in 1995, the American Association of People with Disabilities (AAPD) has become the country's largest cross-disability membership organization of children and adults living with disabilities. Its Disability Vote Project,

established in 2001, helps to break down barriers to voting by advocating for the full implementation of the Help America Vote Act of 2002, helping people with disabilities register to vote, providing resources and education to people with disabilities about getting to polling places and making polling places and voting machines more accessible. AAPD undertakes these activities as the lead organizer of a thirty-seven-member coalition of national disability-related groups as well as with several partners in the electoral community, including Demos, National Association of Secretaries of State and Leadership Conference on Civil Rights.

DEMOS: A NETWORK FOR IDEAS AND ACTION, LTD., *New York, NY*

ELECTORAL REFORM RESEARCH AND PUBLIC EDUCATION. TWO YEARS, \$400,000.

As states implement the Help America Vote Act of 2002 and introduce new election systems, they are faced with interpreting and applying new federal mandates. To ensure that the proposed reforms help inform and stimulate better civic engagement, Demos: A Network for Ideas and Action, a nonpartisan public policy research and advocacy organization, is undertaking and analyzing research aimed at assisting local elections administrators, policymakers and the public. Members of the project are convening conferences and undertaking a series of public education and advocacy activities. Corporation funds are supporting a consolidation of Demos' work at the national and state level to promote a broad agenda of democracy reforms, including new efforts to bolster voter registration and participation, the elimination of barriers and discrimination that prevent voting and the development of new electoral reforms that would strengthen civic participation across the nation.

MASSACHUSETTS INSTITUTE OF TECHNOLOGY, *Cambridge, MA*

FINAL GRANT TOWARD A JOINT PROJECT WITH THE CALIFORNIA INSTITUTE OF TECHNOLOGY ON VOTING TECHNOLOGY. TWO YEARS, \$300,000.

In the wake of the 2000 elections, the Corporation supported research on new voting technologies by a joint team of scholars at the Massachusetts Institute of Technology and the California Institute of Technology. The Voting Technology Project, which was aimed at exploring the problems of the 2000 presidential election and devising solutions, brought together social science researchers with backgrounds in computer science, economics, management, mechanical engineering and political science to develop and recommend technological and policy solutions. The Help America Vote Act of 2002 acknowledged many of the project's recommendations, including nationwide implementation of provisional balloting and the creation of a new federal office to oversee election administration. Corporation funds are supporting the project's research and public education activities that relate to voting and voting technologies.

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## Youth Civic Engagement

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EDUCATION COMMISSION OF THE STATES,  
*Denver, CO*

FINAL GRANT TOWARD THE NATIONAL CENTER FOR LEARNING AND CITIZENSHIP'S EFFORTS TO IDENTIFY EFFECTIVE CITIZENSHIP EDUCATION POLICIES AND PRACTICES IN STATES. EIGHTEEN MONTHS, \$400,000.

Based at the Education Commission of the States, a national organization that facilitates the exchange of information, ideas and experiences among state policymakers and education leaders, the National Center for Learning and Citizenship provides resources, training and technical assistance to local, district and state education policymakers working to incorporate comprehensive approaches to civic education in schools. The center is undertaking several activities to lay the ground work for more effective advocacy on this issue, including working with education scholars and practitioners to develop potential questions related to civic learning for standardized tests and creating an online database that contains the questions and related materials for teachers, administrators and policymakers.

UNIVERSITY OF MARYLAND FOUNDATION, INC.,  
*Adelphi, MD*

FINAL GRANT TOWARD THE CENTER FOR INFORMATION AND RESEARCH ON CIVIC LEARNING AND ENGAGEMENT'S PROJECT ON PROMOTING CIVIC EDUCATION AT THE HIGH SCHOOL LEVEL. THREE YEARS, \$1,000,000.

Established in 2001, the Center for Information and Research on Civic Learning and Engagement (CIRCLE), which is housed at the University of Maryland, has become the nation's premiere research institution in the field of youth civic engagement and development. In addition to allocating grants for research in a range of areas related to youth civic engagement, CIRCLE produces its own research and widely disseminates this information to policymakers, researchers, educators, journalists, grantmakers and the public. With Corporation support, CIRCLE is providing small research grants to scholars conducting studies of civic education at the high school level, producing original research on the subject and disseminating findings.

UNIVERSITY OF PENNSYLVANIA, *Philadelphia, PA*

ACTIVITIES BY THE NATIONAL CONSORTIUM ON YOUTH CIVIC ENGAGEMENT AIMED AT PROMOTING CIVIC PARTICIPATION. THREE YEARS, \$300,200.

The University of Pennsylvania's Center for Community Partnerships is building on its twenty years of developing university-school partnerships to create the National Consortium on Youth Civic Engagement. The consortium, aimed at promoting civic learning as an educational priority, is working with the National Campaign for the Civic Mission of Schools to develop a K-16 community-school partnership model in several states. Members of the project are holding workshops to examine policies that foster or hinder K-16 partnerships that advance civic learning and develop action plans to address obstacles; establish two demonstration sites; and promote use of the model nationwide.

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## Discretionary Grants

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18-35 INC., *Washington, DC*

ONE-YEAR GRANT OF \$50,000 TOWARD SUPPORT

ALLIANCE FOR NONPROFIT MANAGEMENT, INC.,  
*Washington, DC*

FOUR-MONTH GRANT OF \$10,000 TOWARD  
EXPLORATION OF A MERGER BETWEEN THE ALLIANCE  
FOR NONPROFIT MANAGEMENT AND THE NATIONAL  
COUNCIL OF NONPROFIT ASSOCIATIONS

AMERICA SPEAKS, INC., *Washington, DC*

TWO-MONTH GRANT OF \$25,000 TOWARD  
AN INTERACTIVE TOWN HALL MEETING ON  
STRENGTHENING U.S. CIVIC PARTICIPATION

AMERICAN ASSOCIATION OF UNIVERSITY  
PROFESSORS, *Washington, DC*

ONE-YEAR GRANT OF \$25,000 FOR PLANNING A  
PROJECT AIMED AT ENCOURAGING EDUCATION FACULTY  
TO VOLUNTEER AS POLL WORKERS

AMERICAN FORUM, *Washington, DC*

ONE-YEAR GRANT OF \$50,000 TOWARD ITS MESSAGING  
AND COMMUNICATIONS STRATEGIES AROUND  
ELECTORAL REFORM ISSUES

AMERICAN PROSPECT, INC., *Boston, MA*

ONE-YEAR GRANT OF \$50,000 TOWARD DEVELOPMENT  
AND DISSEMINATION OF A POST-ELECTION SPECIAL  
REPORT ON THE STATE OF U.S. DEMOCRACY

AMERICAN UNIVERSITY, *Washington, DC*

ONE-YEAR GRANT OF \$50,000 TOWARD A COMMISSION  
ON FEDERAL ELECTION REFORM

ARIZONA INSTITUTE FOR PUBLIC LIFE,  
*Phoenix, AZ*

ONE-YEAR GRANT OF \$50,000 TOWARD BUILDING ITS  
CAPACITY TO UNDERTAKE STATEWIDE IMMIGRANT  
CIVIC INTEGRATION PUBLIC EDUCATION ACTIVITIES

UNIVERSITY OF ARKANSAS AT LITTLE ROCK,  
*Little Rock, AR*

ONE-YEAR GRANT OF \$25,000 TOWARD A PILOT  
PROJECT TO TRAIN IMMIGRANTS IN RURAL AREAS ON  
THE U.S. CITIZENSHIP EXAM

ASIAN AMERICANS/PACIFIC ISLANDERS IN  
PHILANTHROPY, *San Francisco, CA*

ONE-YEAR GRANT OF \$1,000 TOWARD 2005  
MEMBERSHIP SUPPORT

BBB WISE GIVING ALLIANCE, *Arlington, VA*

ONE-YEAR GRANT OF \$50,000 TOWARD SUPPORT

WILLIAM J. BRENNAN, JR., CENTER FOR JUSTICE,  
INC., *New York, NY*

SIX-MONTH GRANT OF \$25,000 TOWARD PUBLIC  
EDUCATION ON THE FEDERAL FUNDING RESTRICTIONS  
ON NONPROFIT ADVOCACY

BRIGHAM YOUNG UNIVERSITY, *Provo, UT*

ONE-YEAR GRANT OF \$50,000 TOWARD RESEARCH  
AND PUBLIC EDUCATION ON THE IMPACT OF RECENT  
FEDERAL CAMPAIGN FINANCE REFORMS

UNIVERSITY OF CALIFORNIA, *Berkeley, CA*

FIFTEEN-MONTH GRANT OF \$25,000 FOR A RESEARCH  
PROJECT ON FAMILY STRUCTURE AND VOTER TURNOUT

UNIVERSITY OF CALIFORNIA, *Berkeley, CA*

ONE-YEAR GRANT OF \$50,000 FOR RESEARCH AND  
DISSEMINATION ON VOTING AND VOTING RIGHTS

CAMPAIGN LEGAL CENTER, INC., *Washington, DC*

SEVEN-MONTH GRANT OF \$25,000 TOWARD A CONFERENCE ON REFORMING REDISTRICTING

CATO INSTITUTE, *Washington, DC*

SEVENTEEN-MONTH GRANT OF \$50,000 TOWARD A PROJECT WITH THE BROOKINGS INSTITUTION THAT WILL ANALYZE AND MAKE RECOMMENDATIONS ABOUT ELECTORAL COMPETITIVENESS

CENTER FOR COMMUNITY CHANGE,  
*Washington, DC*

EIGHT-MONTH GRANT OF \$25,000 TOWARD A PROJECT ON STRENGTHENING ORGANIZING EFFORTS AMONG LOW-WAGE IMMIGRANT WORKERS

CENTER FOR INVESTIGATIVE REPORTING, INC.,  
*Berkeley, CA*

ONE-YEAR GRANT OF \$50,000 TOWARD AN INVESTIGATION OF SURVEILLANCE TECHNOLOGIES, NEW GOVERNMENT INTELLIGENCE-GATHERING POLICIES, AND THE IMPACT ON U.S. DEMOCRACY, INCLUDING CIVIL LIBERTIES

CENTER FOR NEW COMMUNITY, *Chicago, IL*

ONE-YEAR GRANT OF \$50,000 TOWARD ITS RESEARCH ON STATEWIDE IMMIGRANT INITIATIVES

CENTER FOR POLICY ALTERNATIVES,  
*Washington, DC*

ONE-YEAR GRANT OF \$50,000 FOR A CONFERENCE FOR MIDWESTERN STATE LEGISLATORS ON ELECTION REFORM

CENTER FOR PUBLIC DEMOCRACY, INC.,  
*Austin, TX*

SIX-MONTH GRANT OF \$25,000 TOWARD PUBLIC EDUCATION ON THE IMPACT OF STATEWIDE SOFT MONEY CONTRIBUTIONS IN TEXAS

COALITION FOR DC REPRESENTATION EDUCATION FUND, *Washington, DC*

ONE-YEAR GRANT OF \$25,000 TOWARD SUPPORT OF DC VOTE

COMMON CAUSE EDUCATION FUND,  
*Washington, DC*

ONE-YEAR GRANT OF \$50,000 TOWARD ITS MESSAGING AND COMMUNICATIONS STRATEGIES AROUND PUBLIC FINANCING OF ELECTIONS

THE COMMUNITY FOUNDATION FOR THE NATIONAL CAPITAL REGION, *Washington, DC*

ELEVEN-MONTH GRANT OF \$25,000 TOWARD A STUDY OF THE ECONOMIC CONTRIBUTIONS OF IMMIGRANTS IN THE WASHINGTON, D.C., METROPOLITAN REGION

COMMUNITY VOICES HEARD, INC., *New York, NY*

SIX-MONTH GRANT OF \$25,000 TOWARD A TOOLKIT ON COMMUNITY ORGANIZING AND CIVIC PARTICIPATION

COUNCIL FOR EXCELLENCE IN GOVERNMENT,  
*Washington, DC*

TWO-YEAR GRANT OF \$19,200 FOR COVERING EXPENSES OF CORPORATION CIVIC EDUCATION GRANTEEES TO ATTEND A SERIES OF WORKSHOPS FOR STATE CIVIC EDUCATION COALITIONS ASSOCIATED WITH THE NATIONAL CIVIC MISSION OF SCHOOLS CAMPAIGN

COUNCIL ON FOUNDATIONS, INC.,  
*Washington, DC*

EIGHT-MONTH GRANT OF \$25,000 TOWARD PROGRAMS CONCERNING INTERNATIONAL GRANTMAKING

COUNCIL ON FOUNDATIONS, INC.,  
*Washington, DC*

ONE-YEAR GRANT OF \$45,000 TOWARD 2005 MEMBERSHIP SUPPORT

DEMOCRACY SOUTH, *Virginia Beach, VA*

SIX-MONTH GRANT OF \$50,000 TOWARD SUPPORT

ELECTRONIC REPORTING DESIGN INSTITUTE,  
*Clinton, WA*

ONE-MONTH GRANT OF \$5,000 TOWARD A  
CONFERENCE ON IMPROVING ELECTRONIC REPORTING  
OF CAMPAIGN FINANCE DISCLOSURE

EQUAL JUSTICE SOCIETY, *San Francisco, CA*

ONE-YEAR GRANT OF \$20,000 TOWARD FILING AN  
AMICUS CURIAE BRIEF IN CAMPAIGN SPENDING LIMIT  
CASES BEFORE THE SUPREME COURT

FIRST NATIONS DEVELOPMENT INSTITUTE,  
*Fredericksburg, VA*

ONE-YEAR GRANT OF \$25,000 TOWARD ITS  
LEADERSHIP TRANSITION AND STRATEGIC PLANNING

FOUNDATION CENTER, *New York, NY*

ONE-YEAR GRANT OF \$33,000 TOWARD 2005  
MEMBERSHIP SUPPORT

FUND FOR CONSTITUTIONAL GOVERNMENT,  
*Washington, DC*

SIX-MONTH GRANT OF \$50,000 TOWARD A COALITION  
TO ENSURE ACCESS TO GOVERNMENT INFORMATION

FUND FOR THE CITY OF NEW YORK, *New York, NY*

ONE-YEAR GRANT OF \$25,000 TOWARD DEVELOPMENT  
OF A DATABASE THAT HELPS NONPROFITS CONDUCT  
MORE SOPHISTICATED AND TIMELY ANALYSIS OF THEIR  
ACTIVITIES, OUTCOMES AND RESULTS

GEORGE WASHINGTON UNIVERSITY,  
*Washington, DC*

TEN-MONTH GRANT OF \$25,000 TOWARD A STUDY OF  
THE INCREASE OF SMALL POLITICAL CONTRIBUTIONS IN  
THE 2004 ELECTIONS

GOVERNMENT ACCOUNTABILITY PROJECT INC.,  
*Washington, DC*

SIX-MONTH GRANT OF \$50,000 TOWARD SUPPORT

GRANTMAKERS FOR EDUCATION, *Portland, OR*

ONE-YEAR GRANT OF \$1,000 FOR 2004 MEMBERSHIP  
SUPPORT

GRANTMAKERS FOR EDUCATION, *Portland, OR*

ONE-YEAR GRANT OF \$3,000 TOWARD 2005  
MEMBERSHIP SUPPORT

GREATER BIRMINGHAM MINISTRIES, INC.,  
*Birmingham, AL*

ONE-YEAR GRANT OF \$50,000 TOWARD STATE  
CONSTITUTIONAL REFORM

HISPANICS IN PHILANTHROPY, *San Francisco, CA*

ONE-YEAR GRANT OF \$3,000 TOWARD 2005  
MEMBERSHIP SUPPORT

INDEPENDENT SECTOR, *Washington, DC*

ONE-YEAR GRANT OF \$12,500 TOWARD 2005  
MEMBERSHIP SUPPORT

INDIANA UNIVERSITY, *Bloomington, IN*

FIFTEEN-MONTH GRANT OF \$45,500 FOR THE  
EVALUATION OF STATE POLICIES DESIGNED TO INCREASE  
YOUTH CIVIC ENGAGEMENT

INTERNATIONAL CENTER FOR INNOVATION IN  
CIVIC PARTICIPATION, *Washington, DC*

ONE-YEAR GRANT OF \$15,000 TOWARD PARTICIPATION  
OF U.S. CIVIC EDUCATION LEADERS IN A SEMINAR TO  
LEARN ABOUT HOW CIVIC EDUCATION LEADERS IN THE  
UNITED KINGDOM HAVE INCORPORATED POLITICAL  
LITERACY INTO SCHOOL-BASED CIVIC EDUCATION  
CURRICULA

MANHATTAN INSTITUTE FOR POLICY RESEARCH,  
INC., *New York, NY*

ONE-YEAR GRANT OF \$50,000 TOWARD ITS RESEARCH  
PROGRAM ON IMMIGRATION AND IMMIGRANTS

UNIVERSITY OF MARYLAND FOUNDATION, INC.,  
*Adelphi, MD*

ONE-YEAR GRANT OF \$50,000 TOWARD RANDOMIZED  
FIELD EXPERIMENTS ON MOBILIZING VOTERS IN THE  
2004 ELECTIONS

UNIVERSITY OF MARYLAND, *College Park, MD*

TWO-YEAR GRANT OF \$50,000 FOR A STUDY OF VOTING  
TECHNOLOGY AND BALLOT DESIGN

UNIVERSITY OF MICHIGAN, *Ann Arbor, MI*

ONE-YEAR GRANT OF \$50,000 AS A FINAL GRANT  
TOWARD THE 2004 NATIONAL ELECTION SURVEY

NATIONAL ASIAN PACIFIC AMERICAN LEGAL  
CONSORTIUM, *Washington, DC*

FIVE-MONTH GRANT OF \$20,000 FOR EXIT POLLING  
ON THE IMPACT OF ASIAN AMERICAN VOTERS IN THE  
NOVEMBER 2004 ELECTIONS

NATIONAL CENTER ON NONPROFIT ENTERPRISE,  
*Arlington, VA*

ONE-YEAR GRANT OF \$25,000 TOWARD DEVELOPING A  
BUSINESS MODEL TEMPLATE AND TRAINING SERVICES  
FOR NONPROFITS

NATIONAL CONFERENCE OF STATE LEGISLATURES,  
*Denver, CO*

ONE-YEAR GRANT OF \$50,000 FOR REPLICATION  
OF THE MICHIGAN HOUSE CIVICS COMMISSION'S  
BIPARTISAN EFFORT TO PROMOTE HIGH QUALITY K-12  
SCHOOL-BASED CIVIC EDUCATION IN SEVEN STATES

NATIONAL CONFERENCE OF STATE LEGISLATURES,  
*Denver, CO*

ONE-YEAR GRANT OF \$50,000 TOWARD ITS  
IMMIGRANT POLICY PROJECT

NATIONAL CONSTITUTION CENTER,  
*Philadelphia, PA*

ONE-YEAR GRANT OF \$50,000 TOWARD ITS ROLE IN  
COLLECTING AND ANALYZING VOTING PROBLEMS IN  
THE 2004 ELECTIONS

NATIONAL CONSTITUTION CENTER,  
*Philadelphia, PA*

ONE-YEAR GRANT OF \$50,000 FOR PLANNING A  
CONFERENCE ON MODERN U.S. CONSTITUTIONAL  
ISSUES

NEIGHBORHOOD FUNDERS GROUP,  
*Washington, DC*

ONE-YEAR GRANT OF \$1,600 TOWARD 2005  
MEMBERSHIP SUPPORT

NEIGHBORHOOD FUNDERS GROUP,  
*Washington, DC*

EIGHT-MONTH GRANT OF \$10,000 TOWARD A  
CONFERENCE ON THE IMPACT OF DEMOGRAPHIC  
CHANGES ON COMMUNITIES

NEW WORLD FOUNDATION, *New York, NY*

ONE-YEAR GRANT OF \$25,000 TOWARD DEVELOPMENT  
OF PROGRAMS AND SERVICES TARGETED AT YOUNG  
PHILANTHROPIC LEADERS

GRADUATE CENTER OF THE CITY UNIVERSITY OF  
NEW YORK, *New York, NY*

TEN-MONTH GRANT OF \$50,000 FOR PLANNING A  
RESEARCH PROJECT ON TRANSNATIONALISM AND U.S.  
IMMIGRANT INTEGRATION

NEW YORK REGIONAL ASSOCIATION OF  
GRANTMAKERS, INC., *New York, NY*

ONE-YEAR GRANT OF \$16,000 TOWARD 2005  
MEMBERSHIP SUPPORT

NEW YORK UNIVERSITY, *New York, NY*

ONE-YEAR GRANT OF \$50,000 TOWARD A BOOK  
ON THE DECLINE OF CIVIC INTEREST IN FEDERAL  
GOVERNMENT SERVICE

NORTHEAST ACTION, INC., *Boston, MA*

SIX-MONTH GRANT OF \$25,000 TOWARD EVALUATION  
AND STRATEGIC PLANNING OF ITS CIVIC ENGAGEMENT  
ACTIVITIES

NORTHERN CALIFORNIA GRANTMAKERS,  
*San Francisco, CA*

ONE-YEAR GRANT OF \$25,000 TOWARD A TOOLKIT ON  
IMMIGRANT INTEGRATION

PACIFIC INSTITUTE FOR COMMUNITY  
ORGANIZATIONS, *Oakland, CA*

ONE-YEAR GRANT OF \$25,000 TOWARD IMPROVING ITS  
COMMUNICATION STRATEGIES

UNIVERSITY OF PENNSYLVANIA, *Philadelphia, PA*

EIGHT-MONTH GRANT OF \$39,800 FOR USE BY THE  
FELS INSTITUTE OF GOVERNMENT, FINAL GRANT FOR  
A MODEL TECHNICAL ASSISTANCE PROGRAM FOR STATE  
AND LOCAL ELECTION ADMINISTRATORS

PHILANTHROPIC VENTURES FOUNDATION,  
*Oakland, CA*

ONE-YEAR GRANT OF \$1,000 TOWARD 2005  
MEMBERSHIP SUPPORT FOR THE INTERNATIONAL  
HUMAN RIGHTS FUNDERS GROUP

PHILANTHROPY ROUNDTABLE, *Washington, DC*

ONE-YEAR GRANT OF \$5,000 TOWARD 2005  
MEMBERSHIP SUPPORT

PRO BONO NET, INC., *New York, NY*

SIX-MONTH GRANT OF \$40,000 TOWARD PLANNING  
A WEB-BASED INFORMATION PORTAL ON IMMIGRANT  
LEGAL ISSUES

PROTEUS FUND, INC., *Amherst, MA*

ONE-YEAR GRANT OF \$50,000 TOWARD AN  
EVALUATION OF NONPROFIT VOTER ENGAGEMENT  
ACTIVITIES IN 2004

PROTEUS FUND, INC., *Amherst, MA*

ONE-YEAR GRANT OF \$5,000 TOWARD 2005  
MEMBERSHIP SUPPORT FOR ITS FUNDERS' COMMITTEE  
FOR CIVIC PARTICIPATION

PUBLIC CAMPAIGN, *Washington, DC*

ONE-YEAR GRANT OF \$50,000 TOWARD UPDATING  
A PUBLIC EDUCATION DVD/VIDEO ON PUBLIC  
FINANCING OF ELECTIONS

REBOOT, INC., *New York, NY*

ONE-YEAR GRANT OF \$25,000 TOWARD DISSEMINATION  
OF THE RESULTS OF A STUDY ON YOUTH, RELIGION AND  
CIVIC ENGAGEMENT

TOMÁS RIVERA POLICY INSTITUTE,  
*Los Angeles, CA*

SEVEN-MONTH GRANT OF \$25,000 TOWARD A  
CONFERENCE ON THE 2004 LATINO EXIT POLLS

ROCKEFELLER FAMILY FUND, INC., *Metairie, LA*

ONE-YEAR GRANT OF \$2,000 TOWARD 2005  
MEMBERSHIP SUPPORT FOR THE GRANTS MANAGERS  
NETWORK, A PROJECT OF THE ROCKEFELLER  
FAMILY FUND



RUTGERS UNIVERSITY FOUNDATION,  
*New Brunswick, NJ*

SEVEN-MONTH GRANT OF \$25,000 TOWARD A  
NATIONAL SURVEY OF COLLEGE STUDENTS ABOUT  
THEIR VOTING EXPERIENCES IN 2004

SAINT ANSELM COLLEGE, *Manchester, NH*

ONE-YEAR GRANT OF \$25,000 TOWARD DEVELOPMENT  
AND IMPLEMENTATION OF A STATEWIDE SURVEY  
ASSESSING THE CIVIC SKILLS, KNOWLEDGE AND  
ATTITUDES OF THE CITIZENS OF NEW HAMPSHIRE

UNIVERSITY OF SOUTHERN CALIFORNIA,  
*Los Angeles, CA*

ONE-YEAR GRANT OF \$25,000 TOWARD MONITORING  
THE PUBLIC INTEREST PERFORMANCE OF LOCAL  
TELEVISION ELECTION NEWS COVERAGE

SOUTHERN REGIONAL COUNCIL, INC.,  
*Atlanta, GA*

ONE-YEAR GRANT OF \$20,000 TOWARD COLLECTING  
AND RECORDING VIOLATIONS OF THE 1965 VOTING  
RIGHTS ACT

SOUTHERN RURAL DEVELOPMENT INITIATIVE,  
INC., *Raleigh, NC*

ONE-YEAR GRANT OF \$50,000 TOWARD PLANNING A  
REGIONAL PROJECT TO MEET THE CAPACITY-BUILDING  
NEEDS OF SMALL OR UNDER-CAPITALIZED NONPROFIT  
ORGANIZATIONS IN THE SOUTH

SPONSORS FOR EDUCATIONAL OPPORTUNITY, INC.,  
*New York, NY*

ONE-YEAR GRANT OF \$10,000 TOWARD 2005  
MEMBERSHIP SUPPORT

TIDES CENTER, *San Francisco, CA*

ONE-YEAR GRANT OF \$1,500 TOWARD ITS TECHNOLOGY  
AFFINITY GROUP PROJECT

TIDES CENTER, *San Francisco, CA*

TEN-MONTH GRANT OF \$25,000 TOWARD A  
CONFERENCE EVALUATING THE ROLE OF THE WOMEN'S  
VOTE IN THE 2004 ELECTION, FOCUSING ON NEW AND  
INFREQUENT VOTERS

TIDES CENTER, *San Francisco, CA*

ONE-YEAR GRANT OF \$50,000 FOR ITS PROJECT, THE  
OPPORTUNITY AGENDA, ANALYZING PUBLIC OPINION  
RESEARCH AND DEVELOPING MEDIA MESSAGES ON  
IMMIGRANT INTEGRATION

TUFTS UNIVERSITY, *Medford, MA*

ONE-YEAR GRANT OF \$50,000 TOWARD AN  
INTERNATIONAL CONFERENCE OF UNIVERSITY  
PRESIDENTS ON THE ROLE OF HIGHER EDUCATION IN  
ENCOURAGING CIVIC PARTICIPATION

UNITED LEADERS, *Boston, MA*

ONE-YEAR GRANT OF \$25,000 TOWARD A PILOT THAT  
WILL PARTNER COLLEGE STUDENT LEADERS WITH  
CITY YEAR CORPS MEMBERS TO TEACH A NEW CIVIC  
EDUCATION CURRICULUM IN PUBLIC SCHOOLS

UNIVERSITY OF WISCONSIN, MADISON,  
*Madison, WI*

ELEVEN-MONTH GRANT OF \$38,000 TOWARD A STUDY  
OF FACTORS INFLUENCING CIVIC ENGAGEMENT IN HIGH  
SCHOOLS

UNIVERSITY OF WISCONSIN, MADISON,  
*Madison, WI*

ELEVEN-MONTH GRANT OF \$19,600 TOWARD  
RESEARCH ON THE ROLE OF THE MEDIA IN MOBILIZING  
YOUTH IN THE 2004 ELECTION

UNIVERSITY OF UTAH, *Salt Lake City, UT*

TEN-MONTH GRANT OF \$49,900 FOR A SYSTEMATIC ANALYSIS OF THE DEBATE SURROUNDING THE ADOPTION AND USE OF ELECTRONIC VOTING TECHNOLOGIES

WILLIAM C. VELASQUEZ INSTITUTE, INC.,  
*San Antonio, TX*

SIX-MONTH GRANT OF \$25,000 TOWARD A POST-ELECTION PHONE SURVEY TO MEASURE LATINO POLITICAL PARTICIPATION IN THE 2004 ELECTION

YALE UNIVERSITY, *New Haven, CT*

EIGHT-MONTH GRANT OF \$25,000 TOWARD RESEARCH AND DISSEMINATION OF A STUDY ON THE IMPACT OF PUBLIC SERVICE ANNOUNCEMENTS ON VOTER TURNOUT

# Special Opportunities Fund

ASSOCIATION OF THE BAR OF THE CITY OF  
NEW YORK FUND, INC., *New York, NY*

ONE-TIME FUNDING TOWARD THE CYRUS R. VANCE  
CENTER FOR INTERNATIONAL LAW.  
ONE YEAR, \$100,000.

Established as a project of the Association of the Bar of the City of New York Fund, the Cyrus R. Vance Center for International Law works with bar associations, law schools, law firms, social justice activists and nongovernmental organizations in countries that have emerged from a period of authoritarian government to promote an ethic of societal responsibility in the legal profession, access to justice, access to opportunity in the legal profession and the rule of law. The center also advocates for public policies that strengthen human rights and civil and political freedoms. The center's global network project in Latin America is convening leaders in the legal profession from the United States and several Latin American countries to develop a set of shared objectives and initiatives—which include both country-specific projects and regional projects—to be pursued over the next two years. The center is providing a range of support to enable members of the project to implement more sustainable and equitable legal and judicial systems in the region.

UNIVERSITY OF CALIFORNIA, *Berkeley, CA*

CHALLENGE GRANT TOWARD A LECTURE SERIES  
ON CLARK KERR'S CONTRIBUTIONS TO HIGHER  
EDUCATION. TEN YEARS, \$500,000.

In 2001, the University of California established the Clark Kerr Lectures in memory of the former chancellor of the University of California, Berkeley, and former president of the University of California system. The lectures Kerr delivered at Harvard University in 1963 on *The Uses of the University* are among the most widely read critiques of the modern research university. He led the influential Carnegie Commission on Higher Education from 1967 to 1973, and its successor, the Carnegie Council on Policy Issues in Higher Education, until 1979. Kerr,

who died in 2003, is recognized for his distinguished contributions to the nation through his work with Carnegie Corporation and his leadership of the University of California. This award will match an equal amount to be raised toward the lecture series.

CLAREMONT GRADUATE UNIVERSITY,  
*Claremont, CA*

ONE-TIME ONLY SUPPORT TOWARD ITS INSTITUTE  
FOR DEMOCRATIC RENEWAL'S ANTI-RACISM TRAINING  
INSTITUTES. ONE YEAR, \$100,000.

Located at Claremont Graduate University, the Institute for Democratic Renewal strives to combat injustice in the United States through a variety of training centers, projects, presentations, conferences and technology initiatives. Since 2001, it has created a network of institutes that provide training to help communities address racism in school, health care and criminal justice systems. Corporation support is providing project funding to two sites in the network—Broward County, Florida, and Santa Barbara, California.

COUNCIL ON FOUNDATIONS, INC.,  
*Washington, DC*

ONE-TIME SUPPORT TOWARD ADVOCACY ON PUBLIC  
POLICY ISSUES RELATED TO PRIVATE FOUNDATIONS.  
ONE YEAR, \$70,900.

The Council on Foundations has taken a series of steps to enhance its public policy and government regulations activities to ensure that both foundations and policymakers are sufficiently educated about the rules of accountability and transparency that govern the philanthropic sector, current and proposed legislation and subsequent regulations. With this grant, the council is contracting with Akin Gump and Clark Consulting for self-protection lobbying for foundations, as permitted by federal law, to ensure that the interests of private foundations are heard as these issues are deliberated and crafted into legislation.

GEORGETOWN UNIVERSITY, *Washington, DC*

A VOLUME PROVIDING A REVIEW OF REFORMIST  
AND MODERATE THINKING ON ISLAM.  
EIGHTEEN MONTHS, \$180,000.

During the last twenty-five years, a complex mix of factors has contributed to the rise of political-religious ideologies that claim to represent Islam and the spread of more restrictive and conservative interpretations of Islam among significant segments of the Muslim population. Both have contributed to the prevalent perception in the West of a Muslim world dominated by a radical political-religious ideology. Yet, moderate and reformist discourses in various parts of the Islamic world as well as within Muslim communities in Europe and the United States have emerged. A team of scholars at Georgetown University, led by Shireen Hunter, is putting together an analytical and systematic volume of the work of important and influential reformist thinkers. The project aims to examine a variety of methodological approaches for interpreting Islamic religious texts and the relationship between religion and reason, religion and politics, Islam and democracy, and Islam and gender. The study's scope includes the Arab world, South and Southeast Asia, Iran, Turkey and Muslim communities of Europe and the United States.

HUMAN RIGHTS FIRST, *New York, NY*

SUPPORT. ONE YEAR, \$100,000.

Over the past forty-five years, the human rights movement has successfully aroused public indignation about gross violations of human rights and, at the same time, created global legal standards for enforcement. Most countries have agreed to be bound by international laws that protect civil, political, social and economic rights, but there remains a wide gap between acknowledgment of global legal standards and enforcement. Human Rights First, an internationally respected nonprofit, is undertaking an examination of this gap using an integrated approach that addresses challenges, both abroad and within the United States, through research, advocacy, litigation and public education.

INSTITUTE FOR INTERNATIONAL ECONOMICS,  
*Washington, DC*

RESEARCH ON ISLAM, ECONOMIC DEVELOPMENT AND  
GLOBAL STABILITY. NINETEEN MONTHS, \$200,000.

The tragic events of September 11th and the subsequent wars in Afghanistan and Iraq have focused American attention on the Middle East and North Africa, where a host of problems—economic instability, volatile internal politics and terrorist threats—are exacerbating already difficult social and economic conditions in the region. To understand the relationship between religious, political and economic institutions and current living conditions in the area, the Institute of International Economics is conducting a study of the region's economic performance through a comparative analysis that includes an examination of developing nations with similar economies, geographies, natural resources and social characteristics. The research results and a set of policy recommendations to address the institute's findings are to be widely disseminated.

UNIVERSITY OF MARYLAND FOUNDATION, INC.,  
*College Park, MD*

RESEARCH AND ANALYSIS ON PUBLIC ATTITUDES  
AND THE MEDIA IN THE MIDDLE EAST.  
TWO YEARS, \$300,000.

To explore the extent to which public opinion in the Middle East is shifting in response to new media technologies—including satellite television stations like al-Jazeera and MBC, which reach broad transnational audiences—Shibley Telhami, the University of Maryland's Anwar Sadat Chair for Peace and Development, conducted two annual surveys in six Arab countries with Corporation support. The project, which was built on earlier empirical research undertaken in the region, aimed to investigate public attitudes on foreign policy, ethnic and religious identity and state sovereignty; the extent to which the new globalized media are helping to shape these attitudes; and the implications of attitudinal shifts for policy. With this grant, Telhami is conducting two new opinion studies, spaced one year apart, in the countries previously surveyed. The surveys are to be conducted by local representatives; members

of the project will analyze, publish and disseminate the results. The new round of surveys includes questions related to real-time regional and global developments, such as ongoing challenges in Iraq.

NORTHWESTERN UNIVERSITY, *Evanston, IL*

AN EXAMINATION OF THE U.S. PRESIDENTIAL DEBATE SYSTEM. ONE YEAR, \$150,000.

Since 1976, there have been presidential debates during each of the eight presidential campaigns. The debates have become permanent fixtures of presidential campaigns, and any serious candidate, even the incumbent, is expected to participate in them. At the same time, popular and scholarly critiques of the presidential debates hold that the debates have become little more than joint press conferences. Newton N. Minow, former chairman of the Federal Communications Commission and current vice chairman of the Commission on Presidential Debates, in partnership with Craig LaMay, a journalist and faculty member of Northwestern's Medill School of Journalism, will write a book that reviews the history and development of the presidential debate process. The book, which will include recommendations for changing the current system, is expected to be published in 2006, in time to inform discussions about the 2008 presidential debate process.

PUBLIC INTEREST PROJECTS, *New York, NY*

A FUNDER COLLABORATIVE PROMOTING AN EXAMINATION OF AFFIRMATIVE ACTION POLICIES. ONE YEAR, \$100,000.

Recent events—including the fiftieth anniversary of *Brown v. Board of Education*—have provided an unprecedented platform for the American public to examine the nation's commitment to educational opportunity and access through affirmative action policies and programs. With the promise of \$5 million over two years, matched on a 1:1 basis, the Ford Foundation has challenged the philanthropic community to develop a collaborative fund to build a broader constituency in favor of affirmative action and to provide legal advocacy for its successful implementation. Other activities include

documenting the status of minorities and women in schools and the workplace and developing communications strategies for informing the broader public about how affirmative action promotes citizenship, inclusion and economic productivity. Public Interest Projects is coordinating the collaborative.

PUBLIC RADIO INTERNATIONAL, INC.,  
*Minneapolis, MN*

FINAL GRANT TOWARD IN-DEPTH COVERAGE OF AFRICA FOR "THE WORLD." TWO YEARS, \$200,000.

Public Radio International (PRI), a national network that produces, acquires and distributes innovative public radio programming, launched "The World" in 1996 to present international news aimed at helping U.S. audiences understand their connection to issues, events and trends around the globe. In 2003, with support from the Corporation, the program inaugurated "Reconsidering Africa," a show designed to help U.S. listeners develop a better understanding of Africa's many different nations and the many ways in which events and policies in the U.S. affect and are affected by affairs in Africa. Through targeted, in-depth coverage of Africa on an ongoing basis, PRI continues to broaden knowledge about Africa's successes as well as its failures, and its innovations as well as its challenges.

WORLD AFFAIRS COUNCIL OF NORTHERN CALIFORNIA, *San Francisco, CA*

SUPPORT FOR A FORUM ON GLOBAL PHILANTHROPY. ONE YEAR, \$100,000.

Housed at the World Affairs Council of Northern California, the Global Forum on Philanthropy was established in 2002 to introduce donors to organizations working on international issues overseas, educate philanthropists about international philanthropy and call public attention to the importance of these kinds of investments. Corporation funds are supporting the forum's annual conference, which is attended by a wide range of philanthropists who come together to learn about critical international needs and to establish funding partnerships that will leverage their investments. Corporation support is also being used to

enhance the forum's web site and expand outreach efforts to new donors and funding networks.

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## Discretionary Grants

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AMERICAN FORUM FOR GLOBAL EDUCATION,  
*New York, NY*

FOUR-MONTH GRANT OF \$25,000 TOWARD STRATEGIC PLANNING TO REVITALIZE PROGRAMMING IN THE FIELD OF GLOBAL EDUCATION

BROOKINGS INSTITUTION, *Washington, DC*

ONE-YEAR GRANT OF \$11,000 FOR A CONVENING ON CREATING NEW DIALOGUES BETWEEN THE U.S. AND THE MUSLIM WORLD

UNIVERSITY OF CAPE TOWN, *Rondebosch, South Africa*

ONE-YEAR GRANT OF \$50,000 AS ONE-TIME FUNDING TOWARD THE CHANCELLOR'S CHALLENGE, TO SUPPORT SCHOLARSHIPS IN HONOR OF ALAN PIFER

CHESS-IN-THE-SCHOOLS, INC., *New York, NY*

SIX-MONTH GRANT OF \$10,000 AS A ONE-TIME-ONLY GRANT TOWARD DISSEMINATING A REPORT ON THE IMPACT OF CHESS-IN-THE-SCHOOLS ON CHILDREN'S EDUCATION

UNIVERSITY OF CHICAGO, *Chicago, IL*

ONE-YEAR GRANT OF \$20,000 TOWARD A CONFERENCE ON RELIGIOUS PLURALISM IN INDIA

CITIZENS BUDGET COMMISSION, INC.,  
*New York, NY*

ONE-YEAR GRANT OF \$25,000 TOWARD ITS EDUCATION FINANCE REFORM PROJECT

FAITH AND POLITICS INSTITUTE, *Washington, DC*

ELEVEN-MONTH GRANT OF \$35,000 TOWARD A CONVENING TO COMMEMORATE THE 40TH ANNIVERSARY OF THE SELMA-TO-MONTGOMERY VOTING RIGHTS MARCH

GAILER SCHOOL AT MIDDLEBURY, *Shelburne, VT*

ONE-YEAR GRANT OF \$25,000 FOR A STATEWIDE YOUTH CIVIC ENGAGEMENT AND LEADERSHIP SUMMIT

HARVARD UNIVERSITY, *Cambridge, MA*

FOUR-MONTH GRANT OF \$50,000 FOR A PROJECT ON DEVELOPING BIPARTISAN SOLUTIONS FOR URBAN SCHOOL REFORM

JAPAN CENTER FOR INTERNATIONAL EXCHANGE,  
*New York, NY*

SEVEN-MONTH GRANT OF \$25,000 TOWARD A CONFERENCE ON THE ROLE OF PHILANTHROPY IN POST-WORLD WAR II U.S.-JAPAN RELATIONS

JOHNS HOPKINS UNIVERSITY, *Baltimore, MD*

ONE-YEAR GRANT OF \$35,000 TOWARD ADMINISTRATIVE COSTS OF THE NEXT GENERATION VENTURE FUND, A PREPARATORY PROGRAM FOR COLLEGE-BOUND STUDENTS FROM UNDERREPRESENTED COMMUNITIES

KUSH INC., *Silver Spring, MD*

ONE-YEAR GRANT OF \$25,000 FOR ANALYSIS OF NATION BUILDING IN THE SUDAN

NATIONAL ASSOCIATION OF STATE UNIVERSITIES AND LAND-GRANT COLLEGES, *Washington, DC*

EIGHT-MONTH GRANT OF \$50,000 TOWARD PROMOTING A NATIONAL COMMISSION TO ENCOURAGE STUDY ABROAD BY COLLEGE STUDENTS

NATIONAL COUNCIL OF THE CHURCHES OF  
CHRIST IN THE U.S.A., *New York, NY*

ONE-YEAR GRANT OF \$25,000 FOR EXAMINING  
ITS MODULES OF INTERFAITH DIALOGUES IN THE  
UNITED STATES

NATIONAL HISTORY CENTER INC.,  
*Washington, DC*

ONE-YEAR GRANT OF \$15,000 TOWARD DEVELOPING  
A BUSINESS PLAN

NEAR EAST FOUNDATION, *New York, NY*

ONE-YEAR GRANT OF \$25,000 TOWARD SUPPORT OF ITS  
STRATEGIC PLANNING PROCESS

NEW SCHOOL UNIVERSITY, *New York, NY*

ONE-YEAR GRANT OF \$25,000 TOWARD A CONFERENCE  
ON THE IMAGE OF THE U.S. IN THE AFTERMATH OF  
SEPTEMBER 11

NEW YORK ACADEMY OF MEDICINE,  
*New York, NY*

SEVEN-MONTH GRANT OF \$35,000 TOWARD A  
CONFERENCE ON TRANSATLANTIC IMMIGRANT  
HEALTH ISSUES

PEN AMERICAN CENTER, INC., *New York, NY*

ONE-YEAR GRANT OF \$10,000 TOWARD A STRATEGIC  
PLANNING INITIATIVE

RESEARCH FOUNDATION OF THE CITY UNIVERSITY  
OF NEW YORK, *New York, NY*

ONE-YEAR GRANT OF \$25,000 AS ONE-TIME FUNDING  
TOWARD A FEASIBILITY STUDY ON ESTABLISHING A  
RESEARCH INSTITUTE FOCUSED ON PHILANTHROPY

SALZBURG SEMINAR IN AMERICAN STUDIES, INC.,  
*Middlebury, VT*

ONE-YEAR GRANT OF \$25,000 TOWARD THE ARAB  
INITIATIVES ADVISORY COMMITTEE

SUPREME COURT HISTORICAL SOCIETY,  
*Washington, DC*

ONE-YEAR GRANT OF \$43,000 TOWARD A MODEL  
NEW YORK CITY TRAINING PROGRAM FOR PUBLIC  
HIGH SCHOOL TEACHERS ON THE SUPREME COURT,  
THE U.S. CONSTITUTION, AND THE JUDICIARY

RABBI MARC H. TANENBAUM FOUNDATION, INC.,  
*New York, NY*

ONE-YEAR GRANT OF \$50,000 TOWARD  
DISSEMINATING CASE STUDIES ON RELIGIOUS  
TOLERANCE AND CONFLICT RESOLUTION

UNIVERSITY OF THE WESTERN CAPE, *Bellville,  
South Africa*

ELEVEN-MONTH GRANT OF \$50,000 TOWARD AN ORAL  
HISTORY OF SOUTH AFRICA

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## September 11 Recovery

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ASIAN AMERICAN FEDERATION OF NEW YORK,  
*New York, NY*

NINE-MONTH GRANT OF \$100,000 TOWARD PLANNING  
EFFORTS TO SUSTAIN AND EXPAND ECONOMIC ACTIVITY  
IN LOWER MANHATTAN

THE FUND FOR PUBLIC SCHOOLS, INC.,  
*New York, NY*

TWO-YEAR GRANT OF \$100,000 FOR COLLECTION  
DEVELOPMENT FOR TWO SCHOOL LIBRARIES IN  
LOWER MANHATTAN

HOBOKEN BOARD OF EDUCATION, *Hoboken, NJ*

ONE-YEAR GRANT OF \$100,000 TOWARD A WEB-BASED  
INTEGRATED LIBRARY SYSTEM FOR THE HOBOKEN  
PUBLIC SCHOOLS DISTRICT

NEW YORK COMMUNITY TRUST, *New York, NY*

TWO-YEAR GRANT OF \$200,000 TOWARD THE FUND  
FOR NEW CITIZENS, A FUNDER COLLABORATIVE  
FOCUSING ON IMMIGRANTS IN NEW YORK CITY

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## Tsunami Relief

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AMERICAN RED CROSS, *Washington, DC*

ONE-YEAR GRANT OF \$100,000 TOWARD THE TSUNAMI  
DISASTER RESPONSE

INTERNATIONAL FEDERATION OF RED CROSS AND  
RED CRESCENT SOCIETIES, *Geneva, Switzerland*

ONE-YEAR GRANT OF \$100,000 TOWARD THE TSUNAMI  
DISASTER RESPONSE

INTERNATIONAL RESCUE COMMITTEE, INC.,  
*New York, NY*

ONE-YEAR GRANT OF \$100,000 TOWARD THE TSUNAMI  
DISASTER RESPONSE

MERCY CORPS, *Portland, OR*

ONE-YEAR GRANT OF \$100,000 TOWARD THE TSUNAMI  
DISASTER RESPONSE

SAVE THE CHILDREN FEDERATION, INC.,  
*Westport, CT*

ONE-YEAR GRANT OF \$100,000 TOWARD THE TSUNAMI  
DISASTER RESPONSE

UNITED STATES FUND FOR UNICEF,  
*New York, NY*

ONE-YEAR GRANT OF \$500,000 TOWARD THE TSUNAMI  
DISASTER RESPONSE



## Journalism Initiative

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In 2005, Carnegie Corporation of New York embarked on a journalism education reform initiative. The initiative emerged out of a series of discussions that took place over three years between Vartan Gregorian, the deans of leading journalism schools at four of America's top research universities—Berkeley, Columbia, Northwestern and the University of Southern California—and the director of the Shorenstein Center at Harvard University. These conversations laid the foundation for developing a vision of what a journalism school might achieve at an exemplary institution of higher education, a vision shared by the John S. and James L. Knight Foundation, which joined with the Corporation to launch the Carnegie-Knight Initiative on the Future of Journalism Education in May 2005.

The Carnegie-Knight Initiative involves three distinct efforts:

- I. Curriculum Enrichment**, aimed at integrating schools of journalism more deeply into the life of the university and helping students to develop knowledge about a subject in addition to developing skills for covering a subject.
- II. News 21 Incubators**, annual campus-based reporting projects overseen by journalism school professors, the results of which are to be nationally distributed through both traditional and innovative media.
- III. The Carnegie-Knight Task Force**, focusing on research and the creation of a platform for educators to speak on policy and journalism education issues.

Presidents of the five research universities that received inaugural, two-year grants for

the initiative have agreed to support this effort financially and institutionally in the third year.

### Curriculum Enrichment

The goal of the Carnegie-Knight Initiative on the Future of Journalism Education is to elevate the importance of journalism schools within university communities and to integrate them into the academic life of campuses in an effort to attract the journalism leaders of tomorrow and prepare them for a more complex and intellectually challenging industry. A key feature of the initiative is curriculum enrichment, which entails a reinvigoration of journalism coursework in order to offer students the kind of deep and multilayered exploration of complex subjects like history, politics, classics and philosophy that can undergird journalistic skills. In partnership with the Corporation, deans at four leading journalism schools have developed plans for the future of journalism education at their institutions and are beginning to implement their strategies, as described below.

#### GRADUATE SCHOOL OF JOURNALISM, UNIVERSITY OF CALIFORNIA, BERKELEY (\$200,000)

The Graduate School of Journalism at the University of California, Berkeley, is expanding its already flexible curriculum for its two-year master's degree program to include joint-degree programs with other schools and departments, such as law, public health, literature, the arts, public policy, the sciences, humanities, social sciences and business, while at the same time creating a more journalism-friendly way of bringing this specialized knowledge to students. The school will reach out to other units on campus by initially focusing on three areas—Human Rights Issues and International Reporting; Public Health; and Urban Reporting on Design and Planning—and then expanding to other disciplines.

GRADUATE SCHOOL OF JOURNALISM, COLUMBIA UNIVERSITY (\$200,000)

The Graduate School of Journalism at Columbia University is launching a new Master of Arts program in Journalism in the fall of 2005. The new program departs from the traditional journalism school practice of teaching students the skills associated with various forms of journalism; instead, it aims to teach future journalists the complex subject matter central to their careers as well as strategies to clearly communicate that information to general audiences. The Corporation's grant is enabling the journalism school to bring together experts in the field with Columbia faculty from other disciplines to teach in partnership with journalism professors in ways that will be especially useful to journalists.

MEDILL SCHOOL OF JOURNALISM, NORTHWESTERN UNIVERSITY (\$200,000)

The Medill School of Journalism at Northwestern University is offering two new courses for undergraduate journalists as part of a larger effort at the school to continue its history of enriching the curriculum. The two courses—The Nexus Between the Media and Military in Conflicts and Terrorism; and News and Numbers: Statistics and Analytical Research for Journalists—represent an important step forward in the quality and substance of journalism education for the school. These courses also continue Medill's innovative approach to journalism education and cutting-edge training in the important and complex issues that tomorrow's journalists will have to help their audiences understand in order to ensure an informed public.

ANNENBERG SCHOOL OF COMMUNICATION, UNIVERSITY OF SOUTHERN CALIFORNIA (\$200,000)

As part of its curriculum-reform plan, the Annenberg School of Communication at the University of Southern California is launching a new Master of Arts degree in science and technology. Essential to the school's vision for transforming journalism education in the 21st century, the new program represents a step toward fully integrating journalism training into the intellectual life of the university. The program is designed to meet society's

need for journalists who are not only educated, curious, expert and effective, but also prepared to report on the complex policy issues, social concerns and ethics that are shaping science and technology issues. Support from the Corporation covers program planning and development.

### News21 Incubators

UNIVERSITY OF CALIFORNIA, BERKELEY (\$1,000,000)

A key element of the Carnegie-Knight Initiative on the Future of Journalism Education, which seeks to deepen the intellectual life of journalism schools and create a voice for journalism deans within the news industry, is to seed innovative reporting on little-covered issues important to American's robust democracy that can attract new and younger audiences. The project, called News for the 21st Century: Incubators of New Ideas—or News21—is a partnership between five participating research universities. The "incubators" are situated on four campuses, involve students from all five universities, and emphasize ground-breaking, hands-on journalism study and practice. Approximately forty-four students each year will participate in the project for ten weeks each summer, starting in June 2006. A coordinator at each school is to lead the incubators; the five campuses will be networked by a national News21 coordinator, who will work to create outlets in mainstream and emerging news organizations for the students' news products. The Graduate School of Journalism at Berkeley is the fiscal agent for this project for the duration of the grant.

### The Carnegie-Knight Taskforce

SHORENSTEIN CENTER ON THE PRESS, POLITICS AND PUBLIC POLICY, HARVARD UNIVERSITY (\$600,000)

The Carnegie-Knight Task Force, based at Harvard University's Shorenstein Center on the Press, Politics and Public Policy, comprises the journalism deans from four research universities and the director of the Shorenstein Center as founding members. Together, they are choosing a set of issues upon which to focus their collective attention and setting the organiza-

tion's research agenda. The recommended projects are to be pursued by a senior scholar or practitioner under the supervision of the center's director. The goal is to develop compelling, innovative and realistic guidance for solutions to the most serious problems of both journalism and journalism education.

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## Leadership Initiative

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Support for higher education has a long history at Carnegie Corporation of New York. In particular, the Corporation has recognized the importance of academic leadership as a critical element in fostering curriculum, administrative and social change on American campuses. Because excellent leadership is much more than effective management—it can lift an institution from the ordinary to the exemplary, energizing not only the campus but also the larger community and engaging all in a broad sense of reform, purpose and commitment—the Corporation's Leadership Initiative, established in 2005, aims to highlight the importance of academic leadership in the life, culture, excellence, reach, depth and breadth of the work of a university.

The initiative, which provides the means to invest in a few carefully chosen leaders of America's important universities, emerged out of several years of research, in which the Corporation's president and staff members visited universities across the nation, their schools and departments, and became familiar with various programs and projects and the elements that make them exemplary. The result of that work was the development of an initiative that supports a handful of university presidents whose leadership has stimulated multidisciplinary and interdisciplinary teaching and research projects on campus, promoted active community involvement, removed the walls separating professional schools and arts and sciences departments, engaged the university in K-12 school reform or helped to institute programs combining a variety of these ideas as well as resulted in other innovations.

In its first phase, the Corporation's Leadership Initiative provided funds to three university presi-

dents in honor of their leadership and vision for higher education. But the initiative is not simply an award: it is also an investment in leadership. Its intent goes beyond singling out the role of leadership in facilitating academic reform, meaning, as well, to build on the longstanding goals and practices underpinning the Corporation's grantmaking. Each honoree has articulated a vision for his university that reinforces the importance of graduates who understand context, the significance of ideas, the values that shape civilization, the scientific advances that have propelled understanding and the cultural forces that influence the life of our nation.

CARNEGIE MELLON UNIVERSITY, IN HONOR OF ITS PRESIDENT, JARED L. COHON (\$500,000)  
Carnegie Mellon University has integrated academic and co-curricular experiences; its national emphasis on engineering and technology, which it has developed in concert with the humanities, has received national attention. Not only has Carnegie Mellon emphasized scientific advancement in terms of theory, it has done so in a way that stimulates student research projects. Various initiatives include a "living roof," which was designed by an undergraduate who also oversaw its construction. The roof is both environmentally elegant and moderates the temperature in the building over all seasons. An educational focus on environmental literacy for all students has been inculcated into the culture of the university, which has shifted faculty values and culture in support of undergraduate education such that there is now a problem-solving, reflective practitioner's approach to undergraduate education. The university proves that integration of campus intellectual centers can enhance the entire institution.

UNIVERSITY OF CHICAGO, IN HONOR OF ITS PRESIDENT, DON M. RANDEL (\$500,000)  
Student learning at the University of Chicago has been enhanced through a commitment to undergraduate research. The university has developed multiple innovative programs, including an effort to advance K-12 school reform in Chicago and a unique school-community-university network. In addition, the university has developed a program in Islam and international security policy issues,

along with scores of other innovative multidisciplinary and interdisciplinary undertakings.

NORTHWESTERN UNIVERSITY, IN HONOR OF ITS  
PRESIDENT, HENRY S. BIENEN (\$500,000)

Northwestern University has invigorated undergraduate education by connecting practical experience with ideas. For example, social policy students work with policymakers to connect the theory and practice of organizational change; mathematics and computer science students work with a design firm to produce computer applications; the university works with public schools in Detroit and Chicago, applying information technology to enhance student learning. In addition, the schools of business, engineering and education are working cooperatively on a multidisciplinary program that provides training for school principals and superintendents.

# Carnegie Scholars

KHALED M. ABOU EL FADL, *University of California, Los Angeles*

TWO-YEAR GRANT OF \$100,000 FOR A RESEARCH PROJECT ENTITLED "RECONSTITUTING JIHAD: FROM MAKING WAR TO CONSTRUCTING PEACE"

ASMA AFSARUDDIN, *University of Notre Dame*

TWENTY-MONTH GRANT OF \$100,000 FOR A RESEARCH PROJECT ENTITLED "STRIVING IN THE PATH OF GOD: DISCURSIVE TRADITIONS ON JIHAD AND THE CULT OF MARTYRDOM"

JOHN R. BOWEN, *Washington University of St. Louis*

ONE-YEAR GRANT OF \$100,000 FOR A RESEARCH PROJECT ENTITLED "SHAPING FRENCH ISLAM"

BRIAN T. EDWARDS, *Northwestern University*

TWO-YEAR GRANT OF \$100,000 FOR A RESEARCH PROJECT ENTITLED "AFTER THE AMERICAN CENTURY: GLOBALIZATION AND THE CIRCULATION OF 'AMERICAN CIVILIZATION' IN NORTH AFRICA AND THE MIDDLE EAST"

NOAH R. FELDMAN, *New York University*

ONE-YEAR GRANT OF \$100,000 FOR A RESEARCH PROJECT ENTITLED "CONSTITUTIONAL CHANGE IN THE ISLAMIC WORLD"

MICHAEL M. J. FISCHER, *Massachusetts Institute of Technology*

TWO-YEAR GRANT OF \$100,000 FOR A RESEARCH PROJECT ENTITLED "EMERGENT FORMS OF LIFE, DEEP PLAY, AND ETHICAL PLATEAUS IN THE SOCIAL AND TECHNOSCIENTIFIC INFRASTRUCTURES: SHAPING MUSLIM DEMOCRATIC FUTURES"

SOHAIL H. HASHMI, *Mount Holyoke College*

TWO-YEAR GRANT OF \$100,000 FOR A RESEARCH PROJECT ENTITLED "ISLAMIC INTERNATIONAL LAW AND PUBLIC INTERNATIONAL LAW: CONVERGENCE OR DISSONANCE?"

BERNARD HAYKEL, *New York University*

TWO-YEAR GRANT OF \$100,000 FOR A RESEARCH PROJECT ENTITLED "SAUDI ARABIA AND THE GLOBAL SALAFI MOVEMENT"

AYESHA JALAL, *Tufts University*

ONE-YEAR GRANT OF \$100,000 FOR A RESEARCH PROJECT ENTITLED "PARTISANS OF ALLAH: MEANINGS OF JIHAD IN SOUTH ASIA"

AMANAY A. JAMAL, *Princeton University*

TWO-YEAR GRANT OF \$98,500 FOR A RESEARCH PROJECT ENTITLED "CITIZENSHIP, POLITICAL AGENCY, AND DEMOCRACY IN THE ARAB WORLD: THE MEDIATING EFFECTS OF ISLAM"

ADEEB KHALID, *Carleton College*

TWENTY-TWO-MONTH GRANT OF \$100,000 FOR A RESEARCH PROJECT ENTITLED "UNDERSTANDING SOVIET ISLAM: THE ROOTS OF CONTEMPORARY CENTRAL ASIA"

EBRAHIM E. I. MOOSA, *Duke University*

TWO-YEAR GRANT OF \$98,915 FOR A RESEARCH PROJECT ENTITLED "INSIDE THE MADRASAS: THE 'ULAMA SEARCH FOR AUTHENTICITY"

LAWRENCE ROSEN, *Princeton University*

FIFTEEN-MONTH GRANT \$100,000 FOR A RESEARCH PROJECT ENTITLED "EVERYDAY MUSLIM THOUGHT AND ITS ENCOUNTERS"

ABDULAZIZ SACHEDINA, *University of Virginia*

TWENTY-MONTH GRANT OF \$85,000 FOR A RESEARCH  
PROJECT ENTITLED "ISLAM AND HUMAN RIGHTS: A  
CLASH OF UNIVERSALISMS"

ELIZABETH F. THOMPSON, *University of Virginia*

TWO-YEAR GRANT OF \$99,900 FOR A RESEARCH  
PROJECT ENTITLED "SEEKING JUSTICE IN THE MODERN  
MIDDLE EAST"

MUHAMMAD QASIM ZAMEN, *Brown University*

TWO-YEAR GRANT OF \$100,000 FOR A RESEARCH  
PROJECT ENTITLED "INTERNAL CRITICISM AND  
RELIGIOUS AUTHORITY IN MODERN ISLAM"

# Dissemination

Since its reinvigoration in 2000, the Dissemination Program has focused on developing strategies for amplifying and reinforcing the Corporation's grantmaking and institutional goals through collaborative relationships within the Corporation as well as with sister foundations, institutions of higher learning, nongovernmental organizations and others.

In 2005, dissemination activities enhanced the work of the Corporation through special initiatives and strategic communications projects; support of capacity-building programs that advance the work of Corporation grantees; outreach activities that stimulate a broader conversation regarding organizations that share Corporation priorities; and the advancement of journalism education reform that builds awareness of the profession's critical role in sustaining American democracy.

Several outstanding projects effectively illustrate the dissemination program's current priorities and scope. Journalism education reform, for example, has been a major focus over the past three years. In 2005, the Corporation launched a far-reaching initiative dedicated to helping journalism schools enrich their curriculum and spur a national conversation among educators in the field. A more detailed description can be found in the Initiative Fund section of this annual report.

Schools for a New Society (SNS), the Corporation's high school reform effort to foster change at the district level, has progressed to the point of sharing lessons learned with the larger public. A 2004 dissemination award made it possible for the documentary film *Schools for a New Society*, produced by Firelight Media and directed by Peabody Award winner Stanley Nelson, to premiere in three SNS cities and be screened at education policy forums.

Also funded were a United Nations Development Program (UNDP) documentary film that featured a major Corporation enterprise—the Centers for Advanced Study and Education (Cases)—in its exploration of changes in Russian

higher education; a five-year retrospective on the Carnegie Scholars Program, including profiles of some of the program's diverse awardees and their innovative work; and the internationally-reported announcement of renewed support to African universities by the Partnership for Higher Education in Africa. Launched in 2000 by Carnegie Corporation of New York and the Ford, MacArthur and Rockefeller foundations, the partnership has so far contributed more than \$150 million in support to universities in sub-Saharan Africa. Joined in 2005 by the William and Flora Hewlett Foundation and the Andrew W. Mellon Foundation, the partnership has committed another \$200 million over the next five years.

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## Corporation Special Initiatives

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### AMERICAN FOUNDATION FOR THE BLIND

(\$50,000)

Founded in 1921, the American Foundation for the Blind (AFB), recognized as Helen Keller's cause in the United States, is a leading national resource for blind or visually impaired people and the organizations that serve them. From 1932 to 1938, four Corporation grants helped AFB to establish the innovative Talking Books program to aid the many blind and visually impaired people unable to master Braille. Tens of thousands of books, including scholarly texts, classics, bestsellers and children's books, were recorded using breakthrough technology of the time. This one-time commemorative grant from the Corporation is allowing AFB to preserve the Talking Books legacy by producing an archival guide to the collection in Encoded Archival Description, an electronic format accessible via AFB's web site.

### UNITED NATIONS DEVELOPMENT PROGRAM

(\$101,000)

A 30-minute film by the United Nations Development Program featuring CASEs—Centers for Advanced Study and Education that have become academic hubs for university scholars in

the social sciences and the humanities—documents how institutions like Carnegie Corporation and MacArthur Foundation, in partnership with the Russian Ministry of Education, have transformed modern intellectual life in Russia through five years of supporting the CASEs program.

THE WHITE HOUSE PROJECT (\$15,000)

Since 2001, *Who's Talking?*, a research initiative of the White House Project, has examined the presence of women leaders and experts on Sunday morning talk shows, revealing an underrepresentation of such women in the media as well as a gendered shift in representation of political leaders since September 11, 2001. With a matching grant from the Corporation, The White House Project revisited this research in 2005, documenting the presence of women's voices during a crucial period of change in America. To strategically disseminate the findings of *Who's Talking Now 2005* to groups most able to effect change in the media and the nation, The White House Project simultaneously launched SheSource.org, which provides national media representatives with a database of American women leaders and experts.

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## Outreach Initiatives

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AMERICAN YOUTH WORK CENTER (\$25,000)

*Youth Today: The Newspaper on Youth Work*, published by the American Youth Work Center, is the leading voice of independent journalism in the youth service field. Since its inception in 1992, the publication has provided direct-service youth professionals with news and analysis, program reviews, reports on high school reform, research findings, funding opportunities and information on new governmental regulations. Although *Youth Today* currently has a diverse group of about 16,000 subscribers and over 75,000 readers and is widely disseminated in the professional community, the publication is not known to students preparing for education or youth development careers, nor, often, is it known to their teaching faculty. With this Corporation grant, American Youth Work Center is expanding readership of the paper by providing a

free 2-year subscription to libraries at all U.S. colleges and universities that have a school of education.

ALL AFRICA FOUNDATION (\$35,000)

All Africa Foundation, a portal for news stories and public domain documents relating to sustainable development issues in Africa—including the environment, trade, debt, population, water, climate change, forests and agriculture—is undertaking a media project to produce coverage of and provide linkages to ongoing work to reduce poverty in Africa.

THE CHRONICLES GROUP (\$19,000)

This grant supported two premier screenings for national policy leaders of *Running Dry*, a Corporation-supported educational documentary highlighting the global water crisis and the spectrum of possible solutions. Screenings were intended to generate significant public policy activity regarding the water crisis; initiate national and international media focus on the issue; and begin a global public information and education outreach movement. To increase media exposure, an audience of policy makers, environmental lobbyists, celebrities and personalities interested in humanitarian and environmental issues attend the screenings.

FOREIGN POLICY ASSOCIATION (\$25,000)

Great Decisions in the Classroom is a comprehensive program created by the Foreign Policy Association to bring practical and sustainable international affairs learning opportunities to secondary schools nationwide. The project's objectives include training teachers in international affairs, utilizing these teachers as well as program partners to train other teachers in incorporating international affairs in their classrooms and developing sustainable international affairs learning models, materials and programs that meet educational standards. In partnership with 95 World Affairs Councils, which is helping to implement Great Decisions in the Classroom, the program offers three components: an annual summer institute for teachers; a series of local, teacher-led, one-day workshops; and development, promotion, dissemination and implementation of a range of flexible international affairs education models.



#### WHATGOESAROUND.ORG (\$25,000)

The mission of WhatGoesAround.org (WGA) is to enable and empower Americans of all ages and socioeconomic backgrounds to become everyday philanthropists. WGA has set up a web site where individuals, families and companies can register to create a givelist of nonprofit organizations (any of the 900,000 501c 3 nonprofit organizations registered with the U.S. government) that they care about and want to support; the list then becomes a vehicle for family and friends to make donations in the registrant's honor. The Corporation's support is for site-user research and creation of a marketing plan reflecting research findings and recommendations.

#### WOMEN'S ENEWS (\$45,000)

A dissemination award supported the creation of a series of eight articles profiling emerging women leaders of Africa from across the continent who have made significant contributions to the fields of law, medicine, education, media and culture, peace processes and post conflict resolution, protecting and enhancing women's rights and business. Women's eNews engaged their staff of professional reporters who are stationed all over the world, including in nations in Africa, and searched out additional reporters in Africa to complete the stories. Women's eNews distributed the stories through their subscriber list—which has approximately 3 million readers each month—and posted them on their web site.

#### WOMEN'S FOREIGN POLICY GROUP (\$20,000)

The costs of preparation, outreach and follow-up for a series of eight programs on pressing international peace and security issues were covered by this award. Created in 2004 and 2005, these programs, featuring six Carnegie Scholars and their work, covered a variety of themes, such as the challenges facing the United Nations in dealing with political and humanitarian crises, strategies and action plans for combating terrorism in the aftermath of the 9/11 Commission Report and the importance of foreign policy and national security concerns in the 2004 election, as well as the challenges facing the next administration.

#### WORLD AFFAIRS COUNCILS OF AMERICA

(\$60,000)

This project, which featured a Corporation-funded documentary, *Arming the Heavens*, produced by Azimuth Media, and a Carnegie Challenge paper entitled *Divided Viewpoints, Uncertain Directions*, aimed to support a series of national conversations by the World Affairs Councils of America that focused attention on the dangers and opportunities of space weaponization. The goal was to help the wider public understand the debate over the use of space through exposure to a strong, bipartisan debate on the implications of a defense policy proposal currently under consideration by the federal government.

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## Journalism and Media Projects

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#### ABC NEWS SUMMER INSTITUTE (\$90,000)

To inaugurate the journalism education initiative created in 2005 by the Corporation and the John S. and James L. Knight Foundation, a summer institute was convened at ABC News. Five higher education institutions—the graduate schools of journalism at the University of California, Berkeley, and Columbia University; the Kennedy School of Government at Harvard University; the Medill School of Journalism at Northwestern University and the Annenberg School of Communication at the University of Southern California—each selected two top students to participate in the institute, which entailed working with the ABC News' Investigative Reporting Bureau in New York City over an 8-week period. The institute will be followed by on-campus summer programs over the next three years at the participating institutions.

#### AZIMUTH MEDIA (\$75,000)

*Foreign Exchange* with Fareed Zakaria, produced by Azimuth Media, provides a regular, televised forum for examining America's role in an increasingly complex and interdependent world from the perspectives of international newsmakers, politicians, diplomats and journalists. Bringing compelling international voices directly to American audiences, the program has explored over the past year such issues as the

many faces of Islam, the future of democracy, the global economy and environment, the state of American influence in the world and security. The Corporation's dissemination award helped the program reach newsmakers by funding remote video shoots in New York; elevated production values by accessing a weekly news feed such as APTN or Reuters; and supported a web presence for the show.

BI-FOLKAL PRODUCTIONS (\$35,000)

Corporation support helped jump-start Bi-Folkal's production of *The Hollywood Librarian: Librarians in Cinema and Society*, a documentary film about the role of librarians in American life. Clips from well-known Hollywood movies provided an appealing context for getting to know real-life librarians and understanding their work. While most Americans readily express their appreciation for libraries, "democracy's heroes," the librarians, often remain invisible. Featuring interviews with eminent people discussing the importance of librarians, this film attempts to show librarians as the diverse, creative and dedicated professionals they are.

CAPITOL NEWS CONNECTION (\$75,000)

Capitol News Connection (CNC) is an innovative and independent news service that brings national politics to public radio listeners nationwide. With coverage focused on the local impact of national decisions made in the corridors and committee rooms of Congress, CNC's daily, issue-oriented reporting directly connects citizens to their elected representatives. With support from the Corporation, CNC reports on Congressional efforts to help communities destroyed and displaced by Hurricane Katrina, focusing on programs to assist the displaced and impoverished people now scattered in communities throughout the U.S., and undertakes sustained analysis of the McCain-Kennedy and Cornyn-Kyl immigration bills—through all the twists and turns, deals and compromises.

CUNY TV (\$15,000)

*Black Writers in America* is a series of eight half-hour programs featuring 16 of America's greatest living African-American authors. Introduced by the late Ossie Davis, each episode presents two writers

independently discussing their work and its relationship to contemporary American society. The series, produced and presented exclusively by CUNY TV for cable viewers in New York's five boroughs, was nominated for a New York local Emmy Award as Best Historical/Cultural Series in 2004. American Public Television has expressed a desire to present the series to all 350 PBS stations nationwide, which would greatly augment the program's audience. Support from the Corporation is assisting CUNY TV in acquiring rights for PBS national distribution.

EDUCATIONAL BROADCASTING CORPORATION/  
THIRTEEN/WNET (\$75,000)

Educational Broadcasting Corporation received a dissemination award toward the development of programming, research and production for Season 4 (Summer 2005) of *Wide Angle*. The funding supported *Wide Angle's* commitment to helping Americans achieve a better understanding of the world, particularly issues pertaining to Africa and Russia. Support was given for programming that promotes knowledge and understanding about Islam as a religion and about the cultures and communities of Muslim societies—a field of interest to the Corporation's Scholars Program.

FRED FRIENDLY SEMINARS (\$15,000)

A dissemination award was given in support of the completion of the film *In the Face of Terrorism*, which received prior funding from the Corporation. The film, which aired on PBS, aims to explore American security, economic, legal, governmental, health, journalistic, social and ethical challenges in the aftermath of the 9/11 terrorist attacks. Experts and resources from a broad spectrum of organizations—including Corporation grantees and nongovernmental organizations with missions that correlate to the Corporation's investments in international peace and security and strengthening U.S. democracy—were featured in the programs.

INSTITUTE FOR ADVANCED JOURNALISM STUDIES  
(\$20,000)

The Institute for Advanced Journalism Studies is undertaking a project to determine why so few U.S. news organizations have bureaus in sub-Saharan

Africa and why serious issues such as the AIDS pandemic and Africa's economic problems and fledgling democracies have been severely under-reported. With support from the Corporation, the institute organized a three-day symposium to increase awareness of Africa's issues in the media, bringing together a select group of black journalists and journalism students with African leaders, academics, activists and U.S. and African diplomats. The symposium, called "Can What We Don't Know about Africa Hurt Us?," attempted to introduce journalists to African issues that have not received wide coverage in the U.S. media. The institute also created a listserv to continue communicating on these issues with symposium participants.

INSTITUTE FOR WAR AND PEACE REPORTING  
(\$52,100)

To strengthen fact-based, independent journalism through curriculum development and modernization at Makerere University in Uganda, the Institute for War and Peace Reporting is working with the university's journalism faculty to promote professional development; enhance communications strategies, with an emphasis on the use of FM radio; produce training materials and lecture notes specific to Uganda; provide practical, hands-on training for Makerere undergraduates working in the university's FM radio station; and produce quality news by the radio station. Support was also provided for the university to create a pamphlet on Ugandan media law for the freelance journalism community as a guide to their rights and obligations.

INTERNATIONAL CENTER FOR JOURNALISTS  
(\$60,000)

Misperceptions in the United States and in the Arab world about each other's cultures and belief systems stem, in large part, from failures in media coverage. The International Center for Journalists (ICFJ) is holding a conference called "Bridging the Gap" to allow key American and Arab journalists to come together for a series of discussions designed to foster greater understanding of one another's cultures and journalism practices. Central to the conference will be the identification of sources of misperception, misinformation and bias

in reporting, as well as strategies for overcoming and possibly eliminating these sources of miscommunication. With Corporation support, ICFJ is convening the conference and producing a publication outlining sources of misinformation and strategies for their elimination, to be distributed to media organizations, journalism schools and public information officers. The conference will also be recorded in audio and video, with footage to be made available to the same organizations.

INTERNATIONAL REPORTING PROJECT (\$60,000)

Every year since 2000, the International Reporting Project (IRP) at the Johns Hopkins University School of Advanced International Studies has organized a fact-finding trip overseas for a dozen senior U.S. news editors, considered the gatekeepers of the nation's print and broadcast news. The program has thus far provided opportunities for 61 senior editors to learn about key issues in Indonesia, South Africa, Brazil, Lebanon/Syria and India, and these trips have proven highly effective in influencing the coverage of international issues. With this award, IRP plans to take up to 12 editors to 4 principle cities in Nigeria in 2006 for an intensive 10-day look at the issues facing this most populous country in Africa, home of sub-Saharan Africa's largest Muslim population and an important economic and political power in African politics. In addition to meeting government leaders and academic figures, participants will interview a wide range of political and social activists, economists, business leaders, health officials and AIDS workers.

NIGHTLY BUSINESS REPORT (\$40,000)

This grant supported the production of a series of special reports on Nigeria and an educational outreach program. The Nightly Business Report commissioned reporter Kenneth Walker to travel to Nigeria to produce a four-part series on recent economic developments in the country. Following the airing of these reports, a letter was sent to 1,000 Geography and African Studies teachers and Social Studies department heads at urban high schools across the United States offering video copies of the reports for use in their schools at no cost.

## NATIONAL PUBLIC RADIO (\$50,000)

With support from the Corporation, National Public Radio (NPR) is continuing its recent in-depth coverage of nuclear nonproliferation and global terrorism. International Correspondent Mike Shuster is following developments in Iran regarding that country's threat to restart its uranium enrichment program. He is also tracking the resumption of the six-party talks concerning North Korea, as well as investigating North Korea's possible possession of nuclear weapons and testing program. More broadly, NPR is reporting on policy debates in Washington on responses to the threat of nuclear terrorism. NPR's audience now numbers 26 million weekly listeners—a number greater than the combined daily circulation of the nation's top 41 daily newspapers.

## PUBLIC BROADCASTING COUNCIL OF CENTRAL NEW YORK (\$50,000)

Great Giving: The Quest to Make a Difference is producing a television series and web site on the subject of American philanthropy, with the goal of demonstrating to a global audience how the unique tradition of American giving has shaped the ideas and ideals of democratic action and bolstered civic life. The program highlights the ways in which the American tradition of private giving for the public good works to support the arts, education, medical advancement, community development and charitable needs and causes. The project includes a six-hour documentary series aired multiple times on PBS stations, a companion book, video tapes and DVDs. The web site aims to provide access to resources that help donors in setting up foundations, evaluating charities and teaching new generations to give for the common good.

WGBH EDUCATIONAL FOUNDATION/  
FRONTLINE WORLD (\$75,000)

FRONTLINE/World's Journalism Fellows Program (JFP) has been developed with leading journalism graduate programs with the purpose of training and mentoring promising young journalists and creating a serious outlet for international television reporting. The Corporation has supported the JFP program since it began in 2003. This media award funds stipends for six current college students or

recent graduates who will work, over a period of eight months, with experienced FRONTLINE/World broadcast editors and senior producers to develop skills for producing and publishing news projects—particularly underreported international stories—for on-air or online viewing. The Corporation views this project as a model for developing innovative PBS programming and encouraging the strongest values and skills in journalism.

## WORLD PRESS INSTITUTE (\$5,000)

This one-time dissemination award was given to enable a journalist from Nigeria to attend the World Press Institute's (WPI) 2005 Fellowship Program. Building on the Corporation's long-term commitment to enhancing capacity in Africa and the Dissemination Program's strategy to advance the Corporation's efforts to foster serious journalism, this support for participation in WPI's fellows program represented an opportunity to bolster both goals.

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## Strategic Communications

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## ASPEN PHILANTHROPY LETTER (\$20,000)

In 2003, publication of the Aspen Philanthropy Letter (APL) passed from the MacArthur Foundation to the Nonprofit Sector and Philanthropy Program (NSPP) of the Aspen Institute. In contrast to other bulletins that report on today's breaking news, the objective of the APL is to report on new ideas and developments affecting the field of philanthropy by identifying issues early on in the process. APL is currently seeking to diversify its financial base, and this grant from the Corporation supports production as well as the development of a business plan identifying options for the sustainability of the newsletter.

## CITY LORE (\$27,800)

City Lore's Dinner Party With History (DPWH) is a dramatized series of discussions between major figures in American history who meet in the present for a dinner party; Stengel discusses managing and motivating large groups of men with Ulysses S. Grant while Eleanor Roosevelt talks with Jefferson Davis

about the universal rights of man. Besides serving as a family entertainment program, DPWH is being developed to meet the educational goals of civics and American history programs in middle schools and high schools. With seed funding from the Corporation, DPWH is producing a one-hour pilot program, and will subsequently seek funding for a 13-part series. The pilot is to be produced for the re-opening celebrations associated with the National Portrait Gallery of the Smithsonian Institution on July 4th, 2006. Printed casebooks will be produced to facilitate greater classroom discussion.

#### WOMEN VOTE (\$20,000)

This dissemination award supported the production of a report on the Corporation-supported conference, "Colloquium on Women Voters: The Defining Vote." Specifically, the grant funded part of an audio/visual webcast of the event along with media outreach and a publication on women voters and lessons learned. The publication was distributed to participants, members of Congress, the media, political consulting groups and leaders of major political parties and voter groups.

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## Technical Assistance to Grantees

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#### APCO AFRICA (\$17,000)

This grant funds a consultancy to manage the Carnegie Corporation Africa Extranet—an online learning facility that provides a forum for sharing ideas and experiences and ongoing training for the Corporation's international development program grantees.

#### CAPACITY BUILDING AWARDS TO AFRICAN UNIVERSITIES

Eight capacity-building grants ranging from \$5,000 to \$10,000 have been awarded, on a competitive basis, to the following African universities to enable them to execute targeted communications plans and upgrade their communications offices: Ahmadu Bello University, Nigeria; Makerere University, Uganda; University

of Dar es Salaam, Tanzania; University of Education, Winneba, Ghana; University of the Witwatersrand, South Africa; University of Kwazulu Natal, South Africa; Obafemi Awolowo University, Nigeria; University of Jos, Nigeria.

#### FOUR FREEDOMS FUND (\$10,000)

Established in 2003, the Four Freedoms Fund (FFF) is a philanthropic collaborative supporting community-based organizations working mainly at the local level to promote immigrants' human and civil rights and civic integration. The Corporation's program on strengthening U.S. democracy is an active participant in the fund. FFF staff members and donors recently worked with Grantmakers Concerned About Immigrants and Refugees (GCIR) to help them clarify their scope and develop a pitch for other funders. In the process, the need to develop a more integrated strategic communications plan was identified. This award covers the cost of a communications consultant to help GCIR determine how best to communicate their grantmaking interests to the philanthropic community.

#### THE FUND FOR PEACE (\$10,000)

A dissemination capacity-building award was given to the Fund for Peace to underwrite the cost of preparing and disseminating its 2003-2004 Annual Report. In addition, a web version of the report was created and electronically marketed and disseminated.

#### INTERNATIONAL WOMEN'S MEDIA FOUNDATION (\$35,000)

The mission of the International Women's Media Foundation (IWMF), based on the belief that no press is truly free unless women have an equal voice in it, is to strengthen the role of women in the news media around the world. This is the IWMF's fifteenth anniversary year, and the organization has grown considerably, expanding its reach, programming, budget and staff. Now conducting a search for a new executive director, IWMF is using Corporation funds to bring its internationally renowned board of directors together for a two-day facilitated retreat and strategic planning session to develop future directions. African staff

will attend to set direction for IWMPF's work on the continent. The goal will be to develop ongoing exchange between members of the full board, addressing such topics as organizational management, programmatic and policy directions and board and staff roles and responsibilities.

# Anonymous \$20 Million in Grants to Cultural and Social Service Institutions in New York City

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52ND STREET PROJECT, INC., \$50,000

AARON DAVIS HALL, INC., \$100,000

ABINGDON THEATRE COMPANY, \$10,000

ABRAHAM HOUSE, INC., \$25,000

ACADEMY OF AMERICAN POETS, INC., \$10,000

AGENDA FOR CHILDREN TOMORROW/FUND FOR THE CITY OF NEW YORK, INC., \$25,000

AGUDATH ISRAEL OF AMERICA INC., \$50,000

ALIANZA DOMINICANA INC., \$100,000

ALLEY POND ENVIRONMENTAL CENTER, INC., \$25,000

ALLIANCE FOR THE ARTS, INC., \$100,000

ALLIANCE OF RESIDENT THEATRES/NEW YORK, INC., \$100,000

ALPHA WORKSHOPS, \$25,000

AMAS MUSICAL THEATRE, INC., \$10,000

AMERICAN FOLK ART MUSEUM, \$75,000

AMERICAN JEWISH HISTORICAL SOCIETY, \$10,000

AMERICAN MUSEUM OF THE MOVING IMAGE, \$100,000

AMERICAN MUSIC CENTER, INC., \$100,000

AMERICAN PLACE THEATRE, INC., \$10,000

AMERICAN SYMPHONY ORCHESTRA LEAGUE, \$50,000

AMETHYST HOUSE, INC., \$25,000

AMETHYST WOMEN'S PROJECT INC., \$25,000

AMIGOS DEL MUSEO DEL BARRIO, \$100,000

ANTHOLOGY FILM ARCHIVES, \$25,000

ART IN GENERAL, INC., \$25,000

ARTHUR AVILES TYPICAL THEATRE INC., \$10,000

ARTISTS SPACE, INC., \$25,000

ARTS CONNECTION, \$100,000

ASIAN AMERICAN ARTS ALLIANCE, \$25,000

ASIAN AMERICANS FOR EQUALITY, INC., \$25,000

ASPIRA OF NEW YORK, INC., \$50,000

ATLANTIC THEATER COMPANY, \$50,000

AUDUBON PARTNERSHIP FOR ECONOMIC DEVELOPMENT LDC, \$25,000

BALLET HISPANICO OF NEW YORK, \$100,000

BALLET TECH FOUNDATION, INC., \$25,000

BARGEMUSIC LTD., \$75,000

BEDFORD STUYVESANT RESTORATION CORPORATION, \$25,000

BEDFORD STUYVESANT RESTORATION CORPORATION, \$75,000

BIG BROTHERS AND BIG SISTERS OF NEW YORK CITY INC., \$75,000

BILLIE HOLIDAY THEATRE INCORPORATED, \$25,000

BLOOMINGDALE SCHOOL OF MUSIC INC., \$10,000

BOROUGH OF MANHATTAN COMMUNITY COLLEGE PERFORMING ARTS CENTER, INC., \$50,000	BROOKLYN YOUTH CHORUS ACADEMY, INC., \$50,000
BOYS & GIRLS HARBOR, INC., \$100,000	CAREER GEAR INC., \$25,000
BOYS CHOIR OF HARLEM, INC., \$25,000	CAREERS THROUGH CULINARY ARTS PROGRAM INC., \$25,000
BROADWAY HOUSING COMMUNITIES INC., \$100,000	CARIBBEAN AMERICAN CENTER OF NEW YORK INC., \$25,000
BRONX ARTS ENSEMBLE, INC., \$25,000	CARIBBEAN WOMEN'S HEALTH ASSOCIATION, INC., \$50,000
BRONX COUNCIL ON THE ARTS, INC., \$75,000	CASA ATABEX ACHE, \$25,000
BRONX COUNTY HISTORICAL SOCIETY, INC., \$25,000	CASITA MARIA, INC., \$50,000
BRONX MUSEUM OF THE ARTS, \$75,000	CATHEDRAL CHURCH OF ST. JOHN THE DIVINE, \$15,000
BRONX RIVER ART CENTER, INC., \$25,000	CATHOLIC CHARITIES DIOCESE OF BROOKLYN & QUEENS, \$125,000
BROOKLYN ACADEMY OF MUSIC, INC., \$100,000	CENTER FOR ALTERNATIVE SENTENCING AND EMPLOYMENT SERVICES INC., \$125,000
BROOKLYN ARTS COUNCIL, INC., \$75,000	CENTER FOR ARTS EDUCATION INC., \$100,000
BROOKLYN ARTS EXCHANGE, INC., \$10,000	CENTER FOR EMPLOYMENT OPPORTUNITIES, INC., \$50,000
BROOKLYN BOTANIC GARDEN CORP., \$100,000	CENTER FOR FAMILY LIFE IN SUNSET PARK, \$50,000
BROOKLYN CHILDREN'S MUSEUM, \$100,000	CENTER FOR JEWISH HISTORY, INC., \$25,000
BROOKLYN CONSERVATORY OF MUSIC, \$50,000	CENTER FOR THE ADVANCEMENT OF HEALTH, \$100,000
BROOKLYN HISTORICAL SOCIETY, \$50,000	CENTER FOR TRADITIONAL MUSIC AND DANCE, INC., \$50,000
BROOKLYN INFORMATION & CULTURE, INC., \$25,000	CENTER FOR URBAN COMMUNITY SERVICES, INC., \$50,000
BROOKLYN INSTITUTE OF ARTS AND SCIENCES (THE BROOKLYN MUSEUM), \$100,000	
BROOKLYN PHILHARMONIC SYMPHONY ORCHESTRA, INC., \$50,000	
BROOKLYN USA ATHLETIC ASSOCIATION, INC., \$75,000	



CENTRO CIVICO COLOMBIANO INC., \$25,000

CHAMBER MUSIC AMERICA, INC., \$50,000

CHECKERBOARD FOUNDATION, INC., \$10,000

CHESS-IN-THE-SCHOOLS, INC., \$25,000

CHILD ABUSE PREVENTION PROGRAM INC.,  
\$50,000

CHILDREN'S AID SOCIETY, \$15,000

CHILDREN'S HEALTH FUND, \$50,000

CHILDREN'S MUSEUM OF MANHATTAN, \$75,000

CHILDREN'S MUSEUM OF THE ARTS, INC., \$10,000

CHINESE AMERICAN ARTS COUNCIL INC., \$10,000

CHINESE AMERICAN PLANNING COUNCIL INC.,  
\$25,000

CHRISTIAN HERALD ASSOCIATION, INC., \$50,000

CITIZENS FOR NYC, INC., \$100,000

CITY CENTER 55TH STREET THEATER  
FOUNDATION, INC., \$100,000

CITY HARVEST, INC., \$100,000

CITY LORE, INC., \$25,000

CITY YEAR, INC., \$75,000

CITYMEALS-ON-WHEELS, \$50,000

CLASSICAL THEATRE OF HARLEM INC., \$25,000

COLLEGE OF STATEN ISLAND FOUNDATION, INC.,  
\$25,000

COMMITTEE FOR HISPANIC CHILDREN AND  
FAMILIES, INC., \$25,000

COMMON GROUND COMMUNITY HOUSING  
DEVELOPMENT FUND, \$50,000

COMMUNITY ASSOCIATION OF PROGRESSIVE  
DOMINICANS, INC., \$25,000

COMMUNITY HEALTH PROJECT INC., \$50,000

COMMUNITY PRESERVATION CORPORATION,  
\$100,000

COMMUNITY RESOURCE EXCHANGE, INC.,  
\$50,000

COMMUNITY SERVICE SOCIETY OF NEW YORK,  
\$50,000

COOL CULTURE INC., \$10,000

CORO NEW YORK LEADERSHIP CENTER, \$50,000

CORPORATION FOR SUPPORTIVE HOUSING,  
\$100,000

COUNCIL OF JEWISH EMIGRE COMMUNITY  
ORGANIZATIONS, INC., \$25,000

COUNCIL OF JEWISH ORGANIZATIONS OF  
FLATBUSH, INC., \$50,000

COUNCIL OF PEOPLES ORGANIZATION INC.,  
\$25,000

COUNCIL ON THE ARTS & HUMANITIES FOR  
STATEN ISLAND, \$75,000

CREATIVE TIME, INC., \$50,000

CROWN HEIGHTS YOUTH COLLECTIVE, \$100,000

CSC REPERTORY LTD, \$10,000

DANCE NEW AMSTERDAM, \$25,000

DANCE THEATER WORKSHOP, INC., \$100,000

DANCE THEATRE OF HARLEM, INC., \$100,000

DANCE USA, \$25,000	EPIC THEATRE CENTER INC., \$10,000
DANCEWAVE, INC., \$25,000	EPISCOPAL SOCIAL SERVICES OF NEW YORK, INC., \$125,000
DANCING IN THE STREETS, INC., \$25,000	EXIT ART - THE FIRST WORLD INC., \$10,000
DANSPACE PROJECT, INC., \$25,000	EXPLORING THE METROPOLIS, INC., \$10,000
DIA CENTER FOR THE ARTS, INC., \$50,000	FILM/VIDEO ARTS, INC., \$50,000
DIXON PLACE/OPEN CHANNELS NEW YORK, INC., \$25,000	FIND AID FOR THE AGED, INC., \$25,000
DOE FUND, INC., \$25,000	FLEA THEATRE, \$25,000
DOING ART TOGETHER INC., \$10,000	FLUSHING COUNCIL ON CULTURE AND THE ARTS INC., \$75,000
DOMINICAN WOMEN'S DEVELOPMENT CENTER, \$25,000	FLUSHING JEWISH COMMUNITY COUNCIL, INC., \$25,000
DOMINICO-AMERICAN SOCIETY OF QUEENS INC., \$25,000	FOOD BANK FOR NEW YORK CITY, \$60,000
THE DOOR - A CENTER OF ALTERNATIVES, INC., \$75,000	FOREST HILLS COMMUNITY HOUSE, INC., \$75,000
DOROT, INC., \$75,000	FORTUNE SOCIETY, \$100,000
THE DRAWING CENTER, INC., \$50,000	FOUNTAIN HOUSE, INC., \$75,000
DRESS FOR SUCCESS, \$25,000	FRANK SILVERA WRITERS WORKSHOP FOUNDATION, INC., \$10,000
DWA FANM, \$25,000	FRESH AIR FUND, \$75,000
EAST HARLEM EMPLOYMENT SERVICES, INC., \$25,000	FUND FOR THE CITY OF NEW YORK, INC., \$100,000
EAST HARLEM TUTORIAL PROGRAM, INC., \$75,000	GAY MEN'S HEALTH CRISIS INC., \$100,000
EAST SIDE HOUSE, INC., \$50,000	GHETTO FILM SCHOOL INC., \$25,000
EL PUENTE DE WILLIAMSBURG INC., \$50,000	GILDA'S CLUB NEW YORK CITY INC., \$50,000
EN FOCO, INC., \$10,000	GIRLS EDUCATION AND MENTORING SERVICE INC., \$25,000
ENSEMBLE STUDIO THEATRE, INC., \$50,000	

GIRLS INCORPORATED OF NEW YORK CITY,  
\$50,000

GOD'S LOVE WE DELIVER, INC., \$100,000

GOOD SHEPHERD SERVICES, \$100,000

GRAND STREET SETTLEMENT, INC., \$50,000

GREENHOPE SERVICES FOR WOMEN INC., \$50,000

H.T. DANCE COMPANY, INC., \$25,000

HAITIAN CENTERS COUNCIL INC., \$25,000

HALE HOUSE FOUNDATION, INC., \$25,000

HARLEM ARTS ALLIANCE, \$10,000

HARLEM CHILDREN'S ZONE, INC., \$125,000

HARLEM CONGREGATIONS FOR COMMUNITY  
IMPROVEMENT, INC., \$25,000

HARLEM DOWLING WESTSIDE CENTER FOR  
CHILDREN AND FAMILY SERVICES, \$100,000

HARLEM EDUCATIONAL ACTIVITIES FUND, INC.,  
\$75,000

HARLEM SCHOOL OF THE ARTS, \$75,000

HARLEM TEXTILE WORKS, \$25,000

HARLEM UNITED COMMUNITY AIDS CENTER,  
INC., \$75,000

HEART OF BROOKLYN CULTURAL INSTITUTIONS,  
INC., \$10,000

HERE, \$50,000

HERITAGE HEALTH AND HOUSING, INC., \$75,000

HETRICK-MARTIN INSTITUTE, INC., \$25,000

HIGH 5 TICKETS TO THE ARTS, INC., \$50,000

HIGHBRIDGE COMMUNITY LIFE CENTER, INC.,  
\$50,000

HIGHBRIDGE VOICES, \$10,000

HISTORIC HOUSE TRUST OF NEW YORK CITY,  
INC., \$50,000

HOLY APOSTLES SOUP KITCHEN, \$25,000

HOMECREST COMMUNITY SERVICES, INC.,  
\$25,000

HOPE PROGRAM, INC., \$25,000

HORIZON CONCERTS INC., \$25,000

HOSPITAL AUDIENCES, INC., \$50,000

HOSTOS COMMUNITY COLLEGE ADVISORY  
COUNCIL, INC., \$50,000

HOPE CHILDREN INC., \$25,000

ICE THEATRE OF NEW YORK, \$10,000

IFETAYO CULTURAL ARTS FACILITY, INC., \$10,000

INDOCHINA SINO-AMERICAN SENIOR CITIZEN  
CENTER INC., \$25,000

INMOTION, INC., \$25,000

INTERNATIONAL ARTS RELATIONS, INC., \$10,000

INTERNATIONAL PRINT CENTER NEW YORK,  
\$25,000

INWOOD HOUSE, \$50,000

IRISH REPERTORY THEATRE COMPANY, INC.,  
\$50,000

IRONDALE PRODUCTIONS, INC., \$10,000

ISAMU NOGUCHI FOUNDATION AND GARDEN  
MUSEUM, INC., \$75,000

- JACOB A. RIIS NEIGHBORHOOD SETTLEMENT,  
\$50,000
- JACQUES MARCHAIS CENTER OF TIBETAN ART,  
\$25,000
- JAMAICA CENTER FOR ARTS AND LEARNING, INC.,  
\$75,000
- JAZZMOBILE, INC., \$25,000
- JEWISH CHILDREN'S MUSEUM, \$25,000
- JEWISH COMMUNITY COUNCIL OF GREATER  
CONEY ISLAND, INC., \$25,000
- JOHN A. NOBLE COLLECTION, \$25,000
- JOHN HEUSS HOUSE, \$25,000
- JOSÉ LIMÓN DANCE FOUNDATION, \$50,000
- JOYCE THEATER FOUNDATION, INC., \$100,000
- KING MANOR ASSOCIATION OF LONG ISLAND,  
INC., \$25,000
- KINGS MAJESTIC CORPORATION, \$25,000
- KIPS BAY BOYS AND GIRLS CLUB, INC., \$50,000
- KOREAN AMERICAN FAMILY SERVICE CENTER,  
INC., \$25,000
- KOREAN COMMUNITY SERVICES OF  
METROPOLITAN NEW YORK, INC., \$25,000
- LA ASOCIACIÓN BENÉFICA CULTURAL FATHER  
BILLINI, \$50,000
- LA MAMA EXPERIMENTAL THEATRE CLUB, INC.,  
\$75,000
- LABYRINTH INC., \$10,000
- LATIN AMERICAN INTEGRATION CENTER, \$25,000
- LEARNING LEADERS, INC., \$25,000
- LEHMAN COLLEGE CENTER FOR THE PERFORMING  
ARTS, \$25,000
- MUSEUM OF JEWISH HERITAGE – LIVING  
MEMORIAL TO THE HOLOCAUST, \$100,000
- LOUIS ARMSTRONG HOUSE & ARCHIVES/QUEENS  
COLLEGE FOUNDATION INC., \$25,000
- LOWER EAST SIDE PRINTSHOP, INC., \$25,000
- LOWER EAST SIDE TENEMENT MUSEUM, \$50,000
- LOWER MANHATTAN CULTURAL COUNCIL, INC.,  
\$75,000
- MABOU MINES DEVELOPMENT FOUNDATION,  
INC., \$25,000
- MANHATTAN CHILDREN'S ADVOCACY CENTER,  
\$25,000
- MANHATTAN CLASS COMPANY, INC., \$10,000
- MANHATTAN THEATER CLUB, INC., \$50,000
- MARIACHI ACADEMY OF NEW YORK/CENTER FOR  
TRADITIONAL MUSIC AND DANCE \$10,000
- MARK MORRIS DANCE GROUP, \$100,000
- MARTHA GRAHAM CENTER OF CONTEMPORARY  
DANCE, INC., \$75,000
- MATERIALS FOR THE ARTS ASSOCIATION, \$10,000
- MA-YI FILIPINO THEATRE ENSEMBLE INC.,  
\$10,000
- MEET THE COMPOSER, INC., \$25,000
- MIDDLE EAST NATIVES, TESTING, ORIENTATION,  
AND REFERRAL SERVICES, INC., \$25,000
- MIDORI FOUNDATION, INC., \$10,000

MIND-BUILDERS CREATIVE ARTS CO., INC.,  
\$25,000

MONTEFIORE MEDICAL CENTER, ADOLESCENT  
AIDS PROGRAM, \$25,000,

MONTEFIORE MEDICAL CENTER, WOMEN'S  
CENTER FOR HIV, \$25,000

MOUNT SINAI SCHOOL OF MEDICINE OF NEW  
YORK UNIVERSITY, \$100,000

MUNICIPAL ART SOCIETY OF NEW YORK, \$25,000

MUSEUM FOR AFRICAN ART, \$75,000

MUSEUM OF ARTS AND DESIGN, \$75,000

MUSEUM OF CHINESE IN THE AMERICAS, \$25,000

MUSEUM OF THE CITY OF NEW YORK, \$100,000

MUSIC OUTREACH - LEARNING THROUGH MUSIC,  
INC., \$75,000

NATIONAL CENTER FOR CREATIVE AGING INC.,  
\$10,000

NATIONAL CENTER FOR DISABILITY SERVICES,  
\$50,000

NATIONAL CHORAL COUNCIL, INC., \$25,000

NATIONAL DANCE INSTITUTE, INC., \$75,000

NATIONAL MENTORING PARTNERSHIP, INC.,  
\$50,000

NEGRO ENSEMBLE COMPANY, INC., \$10,000

NEIGHBORHOOD COALITION FOR SHELTER, INC.,  
\$25,000

NEW 42ND STREET, INC., \$100,000

NEW ALTERNATIVES FOR CHILDREN, INC.,  
\$25,000

NEW DRAMATISTS, INC., \$10,000

NEW FEDERAL THEATRE, \$25,000

NEW HEIGHTS NEIGHBORHOOD CENTER INC.,  
\$25,000

NEW MUSEUM OF CONTEMPORARY ART, \$100,000

NEW SETTLEMENT APARTMENTS/THE  
CRENULATED COMPANY LTD., \$100,000

NEW YORK CARES, INC., \$75,000

NEW YORK CHINESE CULTURAL CENTER, INC.,  
\$25,000

NEW YORK CITY MISSION SOCIETY, \$75,000

NEW YORK CITY OUTWARD BOUND CENTER,  
INC., \$75,000

NEW YORK CITY RESCUE MISSION, \$50,000

NEW YORK FOUNDATION FOR ARCHITECTURE,  
INC., \$10,000

NEW YORK FOUNDATION FOR THE ARTS, INC.,  
\$100,000

NEW YORK HALL OF SCIENCE, \$75,000

NEW YORK HISTORICAL SOCIETY, \$50,000

NEW YORK METROPOLITAN MARTIN LUTHER  
KING JR. CENTER FOR NONVIOLENCE INC.,  
\$25,000

NEW YORK SHAKESPEARE FESTIVAL, \$100,000

NEW YORK STUDIO SCHOOL OF DRAWING  
PAINTING & SCULPTURE, INC., \$25,000

NEW YORK THEATRE WORKSHOP, \$10,000

NEW YORK UNIVERSITY CHILD STUDY CENTER,  
\$75,000

- NEW YORK URBAN LEAGUE, INC., \$75,000
- NEW YORK WOMEN'S FOUNDATION, \$125,000
- NEW YORK YOUTH SYMPHONY, INC., \$25,000
- NEW YORKERS FOR CHILDREN INC., \$50,000
- NONTRADITIONAL EMPLOYMENT FOR WOMEN,  
\$75,000
- NORTHSIDE CENTER FOR CHILD DEVELOPMENT,  
INC., \$50,000
- NPOWERNY, INC., \$25,000
- NUYORICAN POETS CAFE, INC., \$25,000
- ONTOLOGICAL-HYSTERIC THEATER, INC., \$15,000
- OPUS 118 MUSIC CENTER, \$10,000
- ORPHEON, INC./THE LITTLE ORCHESTRA  
SOCIETY, \$50,000
- ORPHEUS CHAMBER ORCHESTRA, INC., \$75,000
- P.S.1 CONTEMPORARY ART CENTER, INC.,  
\$100,000
- PAN ASIAN REPERTORY THEATRE, INC., \$50,000
- PAPER BAG PLAYERS, INC., \$50,000
- PARTNERSHIP FOR THE HOMELESS INC., \$50,000
- PARTNERSHIP WITH CHILDREN, INC., \$25,000
- PAUL TAYLOR DANCE FOUNDATION, INC., \$75,000
- PEARL THEATRE COMPANY, INC., \$25,000
- PER SCHOLAS, INC., \$25,000
- PERFORMANCE SPACE 122, INC., \$75,000
- PHIPPS COMMUNITY DEVELOPMENT  
CORPORATION, \$100,000
- PHOENIX HOUSE DEVELOPMENT FUND, INC.,  
\$100,000
- PICK UP PERFORMANCE COMPANY, INC., \$10,000
- PLAYWRIGHTS HORIZONS, INC., \$100,000
- POETS & WRITERS, INC., \$100,000
- POETS HOUSE INC., \$50,000
- POINT COMMUNITY DEVELOPMENT CORP.,  
\$25,000
- POLISH & SLAVIC CENTER, INC., \$25,000
- POSSE FOUNDATION, \$25,000
- PREGONES TOURING PUERTO RICAN THEATRE  
COLLECTION, INC., \$50,000
- PRIMARY STAGES COMPANY INC., \$25,000
- PROJECT HOSPITALITY INC., \$50,000
- PROVIDENCE HOUSE, INC., \$25,000
- PUBLIC ART FUND INC., \$75,000
- PUBLICOLOR, INC., \$50,000
- PUERTO RICAN TRAVELING THEATRE CO., INC.,  
\$15,000
- PULSE ENSEMBLE THEATRE INC., \$10,000
- PUPPIES BEHIND BARS INC., \$25,000
- QUEENS BOTANICAL GARDEN SOCIETY, INC.,  
\$100,000
- QUEENS COLLEGE FOUNDATION, INC., \$75,000
- QUEENS COUNCIL ON THE ARTS, INC., \$75,000

QUEENS COUNTY FARM MUSEUM, \$25,000

QUEENS MUSEUM OF ART, \$100,000

QUEENS SYMPHONY ORCHESTRA, INC., \$75,000

QUEENS THEATRE IN THE PARK, INC., \$100,000

QUINTET OF THE AMERICAS, INC., \$10,000

RACCOON, INC., \$25,000

RACHEL'S PLACE, \$50,000

RINGSIDE, INC., \$25,000

RIVERDALE COMMUNITY CENTER, INC., \$25,000

ROCKAWAY DEVELOPMENT & REVITALIZATION  
CORP., \$50,000

ROOM TO GROW, \$25,000

SADIE NASH LEADERSHIP PROJECT INC., \$25,000

SAFE SPACE NYC, INC., \$75,000

SAKHI FOR SOUTH ASIAN WOMEN, \$50,000

SAMARITAN FOUNDATION, INC., \$75,000

SANCTUARY FOR FAMILIES, INC., \$50,000

SANDY GROUND HISTORICAL SOCIETY INC.,  
\$10,000

SARATOGA INTERNATIONAL THEATER INSTITUTE,  
INC., \$25,000

SCAN NEW YORK VOLUNTEER PARENT-AIDES  
ASSOCIATION, \$75,000

SEARCH AND CARE, \$25,000

SECOND STAGE THEATRE, INC., \$50,000

SELFHHELP COMMUNITY SERVICES, INC., \$100,000

SENIOR ACTION IN A GAY ENVIRONMENT, INC.,  
\$50,000

SESAME FLYERS INTERNATIONAL INC., \$25,000

SHAKESPEARE PROJECT, INC., \$25,000

SIGNATURE THEATRE COMPANY, INC., \$75,000

SNUG HARBOR CULTURAL CENTER, INC.,  
\$100,000

SOCIETY FOR THE PRESERVATION OF WEEKSVILLE  
AND BEDFORD-STUYVESANT HISTORY, \$75,000

SOCRATES SCULPTURE PARK, INC., \$100,000

SOHO REPERTORY THEATRE, INC., \$50,000

SOUTH ASIAN YOUTH ACTION SAYA INC.,  
\$50,000

SPANISH THEATRE REPERTORY LTD., \$100,000

ST. ANN CENTER FOR RESTORATION AND THE  
ARTS, INC., \$25,000

ST. FRANCIS FRIENDS OF THE POOR INC.,  
\$100,000

ST. LUKE'S CHAMBER ENSEMBLE, INC., \$50,000

ST. LUKE'S ROOSEVELT HOSPITAL CENTER,  
\$25,000

ST. RITA'S CENTER FOR IMMIGRANTS & REFUGEE  
SERVICES/TOLENTINE ZEISER COMMUNITY LIFE  
CENTER, INC., \$50,000

STANLEY M. ISAACS NEIGHBORHOOD CENTER,  
\$25,000

STARFISH THEATREWORKS INC., \$25,000

STATEN ISLAND BOTANICAL GARDEN, INC.,  
\$100,000

STATEN ISLAND CHILDREN'S MUSEUM, \$100,000	TRIANGLE ARTS ASSOCIATION LIMITED, \$10,000
STATEN ISLAND HISTORICAL SOCIETY, \$75,000	TRIBECA FILM INSTITUTE, \$100,000
STATEN ISLAND INSTITUTE OF ARTS AND SCIENCES, \$75,000	TRIPLE CANDIE INC., \$10,000
STATEN ISLAND MENTAL HEALTH SOCIETY, INC., \$100,000	TRISHA BROWN DANCE COMPANY, INC., \$75,000
STATEN ISLAND ZOOLOGICAL SOCIETY, INC., \$100,000	UNION SETTLEMENT ASSOCIATION, \$50,000
STUDIO IN A SCHOOL ASSOCIATION, \$100,000	UNITED ACTIVITIES UNLIMITED, INC., \$25,000
STUDIO MUSEUM IN HARLEM, INC., \$100,000	UNIVERSITY SETTLEMENT SOCIETY OF NEW YORK, \$50,000
SUNNYSIDE COMMUNITY SERVICES, INC., \$25,000	URBAN DOVE INC., \$25,000
SYMPHONY SPACE, \$100,000	URBAN STAGES/PLAYWRIGHTS PREVIEW PRODUCTIONS, LTD., \$10,000
TADA! THEATER AND DANCE ALLIANCE, INC., \$75,000	URBANGLASS/NEW YORK CONTEMPORARY GLASS CENTER, INC., \$25,000
TARGET MARGIN THEATER, INC., \$25,000	V-DAY, \$75,000
TEACHERS AND WRITERS COLLABORATIVE, \$75,000	VERA INSTITUTE OF JUSTICE, INC., \$100,000
THALIA SPANISH THEATRE, INC., \$25,000	VERITAS THERAPEUTIC COMMUNITY FOUNDATION, INC., \$50,000
THEATER BY THE BLIND CORP., \$10,000	VILLAGE CARE OF NEW YORK, INC., \$50,000
THEATER FOR THE NEW CITY, \$50,000	VINEYARD THEATRE AND WORKSHOP CENTER, INC., \$50,000
THEATRE COMMUNICATIONS GROUP, INC., \$25,000	VISITING NURSE SERVICE OF NEW YORK, \$50,000
THEATRE FOR A NEW AUDIENCE, INC., \$75,000	WAVE HILL, INC., \$100,000
THIRD STREET MUSIC SCHOOL SETTLEMENT, INC., \$100,000	WEST END INTERGENERATIONAL RESIDENCE, HDFC, INC., \$25,000
TOPAZ ARTS INC., \$10,000	WOMEN IN NEED, INC., \$100,000
TOWN HALL FOUNDATION, INC., \$75,000	WOMEN'S HOUSING AND ECONOMIC DEVELOPMENT CORPORATION, \$100,000



WOMEN'S PROJECT AND PRODUCTIONS, INC.,  
\$50,000

WOMEN'S VENTURE FUND, INC., \$50,000

WOOSTER GROUP, INC., \$50,000

WORLD MUSIC INSTITUTE, INC., \$75,000

YMCA OF GREATER NEW YORK, \$100,000

YORKVILLE COMMON PANTRY, \$25,000

YOUNG AUDIENCES/NEW YORK, INC., \$100,000

YOUNG PLAYWRIGHTS, INC., \$25,000

YPIS OF STATEN ISLAND, INC./NEW YORK CENTER  
FOR INTERPERSONAL DEVELOPMENT, \$25,000



2005 Report on Finances

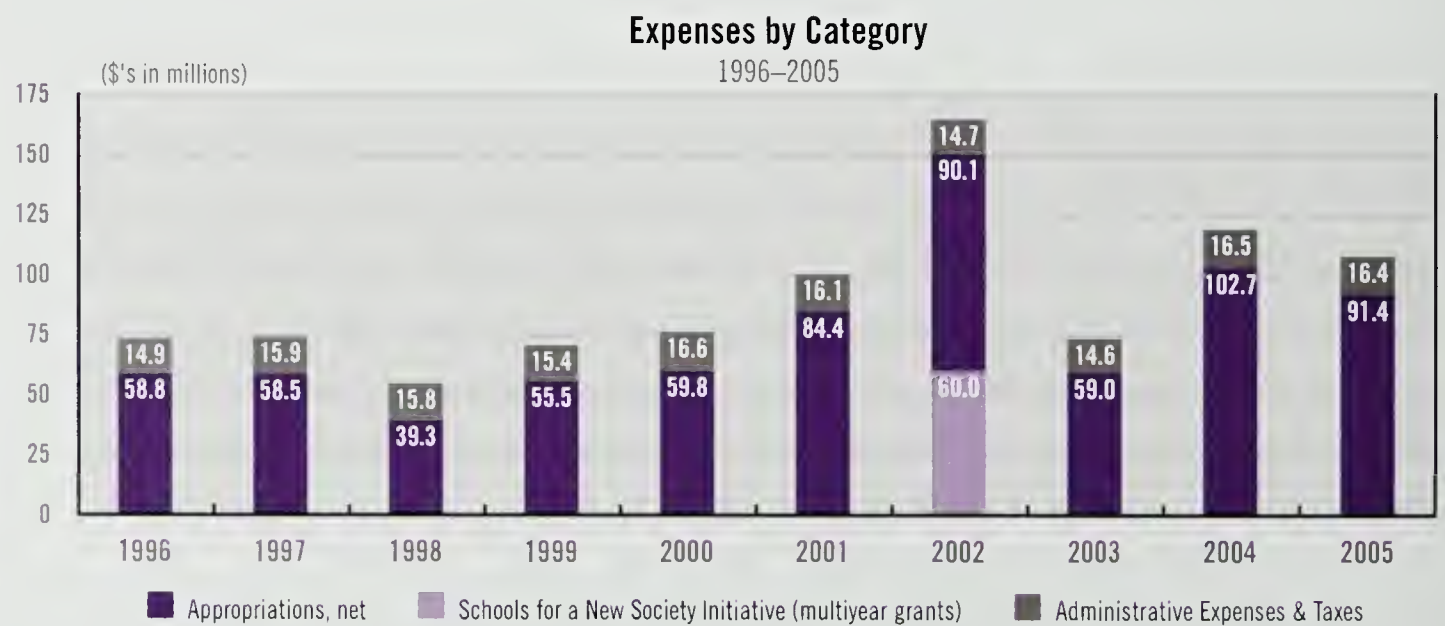
## Financial Highlights

### Appropriations and Expenses

For the ten years ended September 30, 2005, the Corporation awarded 3,618 grants totaling \$759.5 million and incurred expenses of \$130.3 million for direct charitable activities

and administration expenses, excluding investment expenses, and \$26.7 million for taxes, for a total of \$916.5 million.

The graph below illustrates the growth in expenses by category over the ten-year period ended September 30, 2005.



Each year the trustees appropriate funds to be used for grants and for projects administered by the officers. Many of the grants involve multiyear commitments. In the fiscal year ended September 30, 2005, 54 percent of the appropriated funds were paid within the fiscal year. Appropriations, net of refunds and cancellations and including technical assistance and evaluation services totaled \$91.4 million, compared to \$102.7 million in the preceding year. The decrease in appropriations from 2004 is largely attributable to the fact that major grants associated with the Teachers for a New Era initiative and for support of African universities were deferred from 2003 and awarded in 2004.

Program management and direct charitable activities expenses were \$10.8 million in the fiscal year ended September 30, 2005,

compared with \$10.7 million in the previous fiscal year. Included in these amounts are direct charitable activities of \$2.8 million in both 2005 and 2004. Direct charitable activities are services provided directly to other exempt organizations, governmental bodies, and the general public. Such services include providing technical assistance to grantees and potential grantees, conducting educational conferences and research, publishing and disseminating educational materials, and serving on boards of other charitable organizations or public commissions.

General administration expenses were \$3.3 million in 2005 and \$3.2 million in 2004.

The schedule below breaks down total expenses, excluding appropriations and taxes, into categories for the year ended September 30, 2005.

	Program management and direct charitable activities	Investment	General administration	Total
Salaries	\$ 4,870,046	\$ 1,374,991	\$ 1,600,027	\$ 7,845,064
Investment advisory and custody fees	—	4,351,614	—	4,351,614
Employee benefits	2,114,223	303,596	672,498	3,090,317
Rent	1,177,116	136,759	551,863	1,865,738
Travel	567,424	91,550	28,679	687,653
Publications	656,996	—	—	656,996
Consultants	532,606	—	1,000	533,606
Legal and accounting services	—	330,488	146,526	477,014
Office expenses	242,047	31,385	112,516	385,948
Conferences and meetings	224,531	13,347	16,385	254,263
Computer equipment and services	135,169	19,524	62,246	216,939
Amortization and depreciation	84,645	—	39,684	124,329
Trustees' honoraria and expenses	46,158	—	15,410	61,568
Other	169,723	16,414	65,323	251,460
<b>TOTAL</b>	<b>\$ 10,820,684</b>	<b>\$ 6,669,668</b>	<b>\$ 3,312,157</b>	<b>\$ 20,802,509*</b>

\* In FY2004, total expenses, excluding appropriations and taxes, were \$19.9 million, which included \$6.0 million of investment expenses.

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## Taxes

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Under the provisions of the Tax Reform Act of 1969, Carnegie Corporation as a private foundation is subject to a federal excise tax of 2 percent on income and realized capital gains. However, under the Tax Reform Act of 1984, the rate is reduced to 1 percent if the foundation maintains its average expense rate of the previous five years and, in addition, spends the tax savings. The Corporation met the requirements for the reduced tax rate in both 2005 and 2004. Excise tax expense for FY2005 was \$1.6 million. During 2005, the Corporation had unrelated business income of \$2.5 million from certain investment partnership activities. Taxes of \$.7 million on this income are calculated using applicable corporate tax rates. Deferred tax liability represents the potential tax (at 2 percent) on gains as yet unrealized as well as a book to tax timing difference.

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## Audit by Independent Accountants

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The bylaws provide that the Corporation's accounts are to be audited each year by an independent public accountant. Accordingly, the firm of KPMG LLP audited the Corporation's financial statements as of and for the year ended September 30, 2005. The Corporation's financial statements, together with the independent auditors' report, appear on the following pages.

# Independent Auditors' Report

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The Board of Trustees  
Carnegie Corporation of New York:

We have audited the accompanying balance sheets of Carnegie Corporation of New York (the Corporation) as of September 30, 2005 and 2004, and the related statements of changes in net assets and cash flows for the years then ended. These financial statements are the responsibility of the Corporation's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes consideration of internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Corporation's internal control over financial reporting. Accordingly, we express no such opinion. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Carnegie Corporation of New York as of September 30, 2005 and 2004, and the changes in its net assets and its cash flows for the years then ended in conformity with accounting principles generally accepted in the United States of America.

**KPMG LLP**

New York, New York

December 12, 2005

# Balance Sheets

as of September 30, 2005 and 2004

	<u>2005</u>	<u>2004</u>
<b>Assets</b>		
Cash	\$ 15,581	\$ 29,667
Investments - note 3	2,243,511,246	1,955,180,413
Refundable taxes - note 5	107,089	172,235
Prepaid expenses and other assets	98,917	58,675
Fixed assets - note 4	<u>475,414</u>	<u>582,888</u>
Total assets	<u>\$ 2,244,208,247</u>	<u>\$ 1,956,023,878</u>
<b>Liabilities and net assets</b>		
Liabilities		
Grants payable	\$ 65,725,685	\$ 84,785,493
Accounts payable and other liabilities	3,190,696	3,011,492
Deferred taxes payable – note 5	<u>8,227,508</u>	<u>4,478,175</u>
Total liabilities	<u>77,143,889</u>	<u>92,275,160</u>
Net assets		
Unrestricted	2,031,727,490	1,728,411,850
Permanently restricted	<u>135,336,868</u>	<u>135,336,868</u>
Total net assets	<u>2,167,064,358</u>	<u>1,863,748,718</u>
Total liabilities and net assets	<u>\$ 2,244,208,247</u>	<u>\$ 1,956,023,878</u>

See accompanying notes to financial statements.



# Statements of Changes in Net Assets

for the years ended September 30, 2005 and 2004

	2005	2004
Revenues		
Investment income		
Interest and dividends	\$ 24,920,772	\$ 25,721,816
Income and gains from partnerships, net	114,051,549	102,746,692
Net realized gain	62,245,095	54,084,864
Total realized investment income	201,217,416	182,553,372
Less investment expenses paid directly	(6,669,668)	(5,954,625)
Net realized investment income	194,547,748	176,598,747
Contributions	20,023,075	15,167,849
Fees for technical assistance and evaluation services	1,141,549	—
Total revenues	215,712,372	191,766,596
Expenses		
Grant appropriations	90,008,056	101,986,014
Technical assistance and evaluation services	1,429,414	712,136
Program management and direct charitable activities	10,820,684	10,720,490
General administration	3,312,157	3,230,366
Provision for taxes - note 5	2,304,541	2,548,739
Total expenses	107,874,852	119,197,745
Excess of revenues over expenses	107,837,520	72,568,851
Increase in unrealized appreciation of investments, net of related deferred federal excise tax of \$3,989,349 in 2005 and \$1,154,571 in 2004 - note 5	195,478,120	56,573,943
Increase in net assets	303,315,640	129,142,794
Net assets, beginning of year	1,863,748,718	1,734,605,924
<b>Net assets, end of year</b>	<b>\$ 2,167,064,358</b>	<b>\$ 1,863,748,718</b>

See accompanying notes to financial statements.

# Statements of Cash Flows

for the years ended September 30, 2005 and 2004

	2005	2004
<b>Cash flows from operating activities</b>		
Increase in net assets	\$ 303,315,640	\$ 129,142,794
Adjustments to reconcile increase in net assets to net cash provided by operating activities		
Increase in unrealized appreciation of investments	(199,467,469)	(57,728,514)
Net realized gains	(62,245,095)	(54,084,864)
Depreciation and amortization	124,330	148,142
Change in deferred taxes payable	3,749,333	1,200,662
Total adjustments	(257,838,901)	(110,464,574)
Change in refundable taxes and prepaid expenses and other assets	24,904	228,928
Change in grants payable and accounts payable and other liabilities	(18,880,604)	1,365,490
Net cash provided by operating activities	26,621,039	20,272,638
<b>Cash flows from investing activities</b>		
Proceeds from sales or redemptions of investments	1,209,825,844	1,023,677,995
Purchases of investments	(1,236,444,113)	(1,044,003,587)
Purchases of fixed assets	(16,856)	(95,907)
Net cash used in operating activities	(26,635,125)	(20,421,499)
<b>Change in cash</b>	(14,086)	(148,861)
Cash, beginning of year	29,667	178,528
<b>Cash, end of year</b>	<u>\$ 15,581</u>	<u>\$ 29,667</u>

See accompanying notes to financial statements.

# Notes to Financial Statements

*September 30, 2005 and 2004*

## (1) ORGANIZATION:

Carnegie Corporation of New York (the Corporation) is a philanthropic grantmaking foundation that was created by Andrew Carnegie in 1911 to promote the advancement and diffusion of knowledge and understanding. The Corporation has a policy of selecting a few areas at a time in which to concentrate its grants. The Corporation is exempt from federal income taxes under Section 501(c)(3) of the Internal Revenue Code; however, the Corporation is liable for Federal excise taxes (See note 5).

## (2) SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES:

The accompanying financial statements have been prepared on the accrual basis of accounting.

Fixed assets are stated at cost. Depreciation is calculated on a straight-line basis over the estimated useful lives of the related assets ranging from five to ten years. Leasehold improvements are amortized over the remaining life of the lease.

Grant appropriations, including multi-year grants, are recorded as an expense and a payable when grants are approved and communicated to the grantees. Grants payable is expected to be paid as follows: approximately \$45 million within one year and the remaining balance within three years.

For purposes of the statements of cash flows, cash includes all cash held in bank accounts at September 30, 2005 and 2004.

The resources of the Corporation consist of permanently restricted and unrestricted net assets. Permanently restricted net assets represent the original sums received from Andrew Carnegie who, by the terms of the conveying instrument, stipulated that the principal may never be expended, however the income is expendable. Unrestricted net assets are not subject to donor-imposed restrictions. Contributions, including unconditional promises to give, are recognized as revenues in the period received.

The Corporation serves as a fiscal agent for the benefit of specified school districts participating in the Corporation's Schools for a New Society initiative and provides technical assistance and evaluation services to said districts. In the accompanying financial statements, \$1,141,549 was recorded as revenue and \$858,451 was recorded as accounts payable and other liabilities in 2005 and \$1,000,000 as accounts payable and other liabilities in 2004 for fees for technical assistance and evaluation services.

The fair value of investments has been determined as indicated in note 3. The carrying amounts of the Corporation's other financial instruments approximate fair value because of their short maturity.

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at

# Notes to Financial Statements

September 30, 2005 and 2004

the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

### (3) INVESTMENTS:

Readily marketable investments are reported at fair value on the basis of quoted market prices. Limited partnerships and similar interests are reported at fair value based on financial statements and other information received from the partnerships. The general partner determines the fair value of securities using quoted market prices, if available, or using other valuation methods, including independent appraisals. Investments in limited partnerships and similar interests totaled \$1,637,217,557 at September 30, 2005 and \$1,263,100,948 at September 30, 2004.

Investments are composed of the following at September 30, 2005 and 2004:

	2005		2004	
	Cost	Fair Value	Cost	Fair Value
Global equity	\$ 747,754,709	\$ 958,055,218	\$ 685,418,145	\$ 800,730,576
Fixed income	292,058,816	287,566,935	299,105,260	299,695,917
Real estate & resources	170,134,636	232,269,265	170,659,146	203,938,527
Absolute return	398,287,406	506,234,913	397,440,981	455,846,476
Private equity	227,540,884	259,352,606	196,805,833	197,506,308
Due (to)/from brokers, net	(9,976)	32,309	(2,526,254)	(2,537,391)
<b>Total</b>	<b>\$ 1,835,766,475</b>	<b>\$ 2,243,511,246</b>	<b>\$ 1,746,903,111</b>	<b>\$ 1,955,180,413</b>

Included in the table above is accrued investment income of \$2,374,958 and \$2,103,760 at September 30, 2005 and 2004, respectively.

At September 30, 2005, the Corporation had unfunded commitments of approximately \$437 million in various limited partnership investments.

As a result of its investing strategies, the Corporation is a party to index futures contracts. The Corporation's fixed income investment manager uses treasury index futures contracts to manage the duration of the fixed income portfolio. Changes in the market value of these futures contracts are recognized currently in the statements of changes in net assets, using the marked-to-market method. However, index futures contracts involve, to varying degrees, elements of market risk and credit risk in excess of the amounts recorded on the balance sheets. Market risk represents the potential loss the Corporation faces due to the decrease in the value of the financial instruments in the table below.

# Notes to Financial Statements

September 30, 2005 and 2004

Credit risk represents the potential loss the Corporation faces due to the inability of counterparties to meet the terms of their contracts.

The table below summarizes the long and short exchange-traded financial futures positions at September 30, 2005 and 2004:

	2005		2004	
	Net number of contracts-long/(short)	Contract Value (in \$ millions)	Net number of contracts-long/(short)	Contract Value (in \$ millions)
Index future contracts				
30-year Treasury bond	77	8.8	64	7.2
10-year Treasury note	96	10.6	154	17.3
5-year Treasury note	(70)	(7.5)	(219)	(24.3)
2-year Treasury note	(18)	(3.7)	10	2.1

The margin requirements on deposit with third-party safekeeping banks for index futures contracts were approximately \$.2 million at September 30, 2005 and \$.4 million at September 30, 2004.

The partnerships in which the Corporation invests may also hold index futures and options. These positions are not included in the table above.

The Corporation permits its investment managers to use forward foreign exchange contracts to manage the currency risk inherent in owning securities denominated in foreign currencies. In a forward foreign currency transaction, the Corporation agrees to exchange one currency for another on an agreed-upon date at an agreed-upon exchange rate. At September 30, 2005, the Corporation held forward currency buy contracts and sell contracts with notional amounts totaling \$.5 million each. At September 30, 2004, the Corporation held a forward currency buy contract with notional amounts totaling \$4.1 million. Such contracts involve, to varying degrees, risks of loss arising either from the potential change in market prices or from the possible inability of counterparties to meet the terms of their contracts. Forward foreign currency contracts are carried in the balance sheets at market value. Changes in the value of forward foreign currency contracts are recognized as increases or decreases in unrealized appreciation or depreciation until such contracts are closed.

The Corporation's investment advisors monitor the financial condition of the firms used for futures and forward foreign currency trading in order to minimize the risk of loss. Exposure limits are placed on firms relative to their credit worthiness. Management does not anticipate that losses, if any, resulting from credit or market risk would have a material adverse effect on the financial statements.

# Notes to Financial Statements

September 30, 2005 and 2004

## (4) FIXED ASSETS:

Fixed assets are composed of the following at September 30, 2005 and 2004:

	2005	2004
Leasehold improvements	\$ 4,148,526	\$ 4,148,526
Furniture and equipment	3,502,507	3,485,651
	<u>7,651,033</u>	<u>7,634,177</u>
Less accumulated depreciation and amortization	(7,175,619)	(7,051,289)
<b>Total</b>	<u><u>\$ 475,414</u></u>	<u><u>\$ 582,888</u></u>

## (5) TAXES:

The Corporation is liable for federal excise taxes of two percent of its net investment income, as defined, which includes realized capital gains, for the year. However, this tax is reduced to one percent if certain conditions are met. The Corporation met the requirements for the reduced tax in 2005 and 2004. Therefore, current taxes are estimated at one percent of net investment income, as defined.

Deferred taxes represent two percent of unrealized appreciation of investments at September 30, 2005 and 2004, as qualification for the one percent tax is not determinable until the fiscal year in which gains are realized.

During 2005 and 2004, the Corporation had unrelated business income of \$2,460,700 and \$2,625,700, respectively, from certain investment partnership activities. Federal and state taxes of \$843,200 in 2005 and \$973,800 in 2004 on this income are calculated using applicable corporate tax rates and are included in the provision for taxes.

The Corporation paid estimated federal excise taxes of \$1,800,000 in 2005 and \$1,475,000 in 2004. The Corporation also paid estimated federal and state unrelated business income taxes of \$769,700 in 2005 and \$969,000 in 2004.

## (6) BENEFIT PLANS:

The Corporation purchases annuities for qualifying employees under the terms of a noncontributory, defined contribution retirement plan with Teachers Insurance and Annuity Association and College Retirement Equities Fund. Retirement plan expense for the years ended September 30, 2005 and 2004 was \$1,080,300 and \$1,013,400, respectively.

In addition, the Corporation has a noncontributory defined benefit annuity plan to supplement the basic plan described above. This plan is also administered by Teachers Insurance and Annuity

# Notes to Financial Statements

September 30, 2005 and 2004

Association and College Retirement Equities Fund. Contributions to this plan are based on actuarial calculations. No contribution was required in 2005 or 2004. At December 31, 2004, the assets of the plan exceeded the actuarial present value of accumulated plan benefits by approximately \$840,600.

In addition, the Corporation provides certain medical benefits to its retirees. The cost of providing these benefits was \$204,100 in 2005 and \$172,200 in 2004, on a pay-as-you-go basis.

(7) LEASES:

The Corporation occupies office space at 437 Madison Avenue under a lease agreement expiring December 31, 2013.

The following is a schedule of the future minimum lease payments at September 30, 2005.

<b>Fiscal year ending September 30</b>	<b>Amount</b>
2006	\$ 1,604,000
2007	1,604,000
2008	1,627,000
2009	1,693,000
2010	1,693,000
2011-2014	5,504,000
<b>Total</b>	<b>\$ 13,725,000</b>

Rental expense for 2005 and 2004, including escalations, was \$1,819,500 and \$1,745,100, respectively.





2005 Report on Administration

## Fiscal 2005: The Year in Review

Andrew Carnegie exemplified that the spirit of philanthropy is not limited to the work of foundations; it is found among countless individuals who choose to use their resources to benefit their communities, and the world. To enhance the individual contributions of Corporation staff members, the Corporation revised its staff matching gifts program to allow a match of up to three times the amount of a staff member's eligible donation to a publicly-supported charitable organization. This action increases the support of staff members in their philanthropic activities, maximizing the impact of their generosity.

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### Board and Committees

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At the March 3, 2005, board meeting, Sam Nunn retired from the board and received a minute of appreciation, which expressed "profound appreciation for your eight years of service, during which you helped to steer the foundation into a new century, with new concerns and challenges." The trustees also thanked Senator Nunn for giving generously

of his time, insight and experience, and for "commitment to principled leadership and your wisdom in our deliberations."

Pedro Aspe, Janet Robinson and Richard Brodhead were elected to four-year terms as trustees, beginning December 2, 2004. Thomas Kean was elected to a four-year term, effective March 3, 2005. Norman Pearlstine was elected to a four-year term as trustee, beginning June 9, 2005.

Dr. Aspe is the former Secretary of the Treasury of Mexico and currently chief executive officer of Protego, an investment banking advisory firm; Ms. Robinson serves as chief executive officer of the New York Times Company; and Dr. Brodhead is president of Duke University. Governor Kean is former governor of New Jersey and president of THK Consulting. He is the former chair of the National Commission on Terrorist Attacks Upon the United States (known as the 9/11 Commission) and chair of the follow up public education campaign, the 9/11 Public Discourse Project. Governor Kean is rejoining the board; he served as trustee from January 1991 through February 2002. Mr. Pearlstine is former chief executive officer of Time, Inc., and is currently a senior advisor for Time Warner, Inc.

Annual elections were held at the December 2, 2004, board meeting. The trustees elected Helene L. Kaplan as chairman and Martin Leibowitz as vice-chairman.

The board elected members to serve on various committees for fiscal year 2005. The Corporation's four standing committees were constituted as follows: Elected to serve on the planning and finance committee were Martin Leibowitz, Olara Otunnu and Raymond Smith, who was elected chair by committee members. Elected to serve on the audit committee were Martin Leibowitz, James Hunt, Thomas Pickering and Pedro Aspe, who was elected chair by committee members. Elected to the committee on trustees were Bruce Alberts, Richard Brodhead, James Hunt, William Owens, Richard Riley and Olara Otunnu, who was elected chair by the committee members. When elected to the board on March 3, 2005, Thomas Kean joined the committee on trustees. Elected to

the investment management committee were Fiona Druckenmiller, Martin Leibowitz, Raymond Smith and Geoffrey Boisi, who was elected chair by the committee members.

The board also elected members to four program subcommittees. Elected to the education subcommittee were Geoffrey Boisi, Richard Brodhead, Fiona Druckenmiller, James Hunt, Martin Leibowitz, Sam Nunn,\* Olara Otunnu, Thomas Pickering, Richard Riley and Janet Robinson. Elected to the international development subcommittee were Pedro Aspe, Richard Brodhead, James Hunt, Sam Nunn, William Owens, Thomas Pickering and Raymond Smith. Elected to the international peace and security subcommittee were Bruce Alberts, Pedro Aspe, Geoffrey Boisi, William Owens and Raymond Smith. Elected to the strengthening U.S. democracy and special opportunities fund subcommittee were Bruce Alberts, Fiona Druckenmiller, Martin Leibowitz, Olara Otunnu, Richard Riley and Janet Robinson. Governor Kean, when elected, became a member of the program subcommittees on international peace and security and strengthening U.S. democracy. Mr. Pearlstine, when elected, became a member of the program subcommittees on international peace and security and international development.

Both Helene L. Kaplan, chairman of the board, and Vartan Gregorian, president of the Corporation, serve *ex officio* on all standing committees. Membership on the ad hoc committee on compensation includes the chairman of the board, Helene L. Kaplan, vice chairman of the board, Martin Leibowitz, and chair of the planning and finance committee, Raymond Smith.

\* Sam Nunn served through 3/3/05.

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## Board Actions

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At the September 30, 2004, board meeting, the proposed audit plan for fiscal year 2004-05 was discussed and accepted.

At the board meeting on March 3, 2005, the trustees resolved to accept a gift of \$20 million from an individual who wished to remain anonymous. The trustees authorized the president to appropriate those funds in a manner consistent with the Corporation's mission and the donor's general intent. The grants supported small- and medium-sized arts and cultural institutions as well as social service providers throughout New York City.

At the June 9, 2005, board meeting, the trustees amended Article I, Section 2 of the Constitution to increase the number of trustees to be not more than twenty.

In fiscal year 2005, the board of trustees responded to two devastating disasters. At the March 3, 2005, board meeting, the trustees authorized the president to appropriate \$1 million to provide short-term and long-term aid for the tsunami disaster in South Asia. At the board meeting on September 29, 2005, the trustees authorized the president to appropriate \$1 million in short-term and long-term aid to respond to hurricane Katrina.

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## Milestones

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This was a year of sadness for the Corporation, as three dear colleagues and friends passed on. Alan Pifer, president of Carnegie Corporation of New York from 1967 until 1982, passed away in October at the age of 84. Under his leadership, the Corporation's work showed the hallmarks of his deep commitments to

social justice and strengthening the rights of disadvantaged peoples. Barbara Finberg, who died in March, spent 38 years at the Corporation, and was visionary in her focus on early childhood education. Her leadership in the field and advocacy helped spur the creation of the PBS television show *Sesame Street*. The Corporation's writer, Michael deCourcy Hinds, an experienced and respected journalist committed to the integrity and importance of the non profit sector, died in September. They are greatly missed but remembered with much fondness, and their legacies of philanthropic value, integrity and vision continue to inspire us.

During fiscal year 2005, there were a number of staff changes as the Corporation recognized professional growth with promotions, expressed appreciation to departing staff members and welcomed new people to the foundation.

Joining the Corporation in fiscal year 2005 were, in the Education Division, Michelle Han, executive assistant, and Mindy L. Hernandez, program associate; in public affairs, Philip A. Sanchez, editorial assistant, and Karen Theroux, editor and writer; in the Strengthening U.S. Democracy program, Kaveri Vaid, program assistant; and in the Scholars program, Patricia Yee, administrative assistant. Tiffany Garcia joined the Corporation as mail clerk and office assistant.

The Corporation bid farewell to Rebecca Feeley, administrative assistant in the Scholars program; Cynthia Gibson, program officer, and Laura J. Smith, executive assistant, in the Strengthening U.S. Democracy program; Nidia Marti, executive assistant, and Catherine G. Pino, Deputy Director of Urban High School Initiatives, in the Education program; Aimee Sisco, associate editor, Public Affairs;

and Courtenay Sprague, program associate in the International Development program.

Upon her retirement, Nidia Marti received a minute of appreciation for her 37 years of service to the Corporation. The minute read, in part, "You have been a thoughtful, responsible and creative colleague through more than three decades, and all those who have had the pleasure and privilege of working with you are grateful for the experience."

In fiscal year 2005, Carolyn Bido was promoted from mail clerk and office assistant to staff assistant for the investment and finance offices. Ambika Kapur, coordinator for dissemination and media programs, was promoted to program associate in the Dissemination Program. Rikard Treiber, formerly grants manager, was promoted to associate corporate secretary and director of grants management.



2004-2005 Report on Investments

## Corporation Portfolio Exceeds \$2.2 Billion, Highest Valuation In Its History

Markets faced a series of challenges during the past few years, including the unwinding of the technology bubble, terrorism at home and abroad, corporate scandal and surging commodity prices. Despite the headwinds, the Corporation's portfolio has performed remarkably well. Over the past five years, the market value of the Corporation's assets increased 16.3 percent from \$1,928 million to \$2,243 million, the highest valuation in its 94-year history. At the same time, the Corporation disbursed \$467 million for grants and administrative expenses, representing a spending rate of 5.3 percent of total assets. Unlike many foundations, the Corporation was able to maintain its spending during the technology downturn thanks to the foundation's diversified approach to investing and its spending rule of 5.5 percent of its 12-quarter average market value, which smoothed the volatility of disbursements.

Buffeted by negative exogenous events on the one hand and more recently awash in waves of liquidity on the other, financial markets have fluctuated wildly over the Corporation's past five fiscal years from October 1, 2000 to September 30, 2005. The tech-centric equity market was in the midst of unraveling in October 2000, only to be shaken even further

by the attacks of September 11, 2001, and, soon thereafter, by the revelations of fraud and malfeasance at WorldCom, Adelphia and Enron, among others. From October 1, 2000, to its trough in September 2002 the S&P 500 lost 43 percent of its value, largely overlapping the worst two years for the U.S. stock market since the 1973-1974 recession. Towards the end



of the first quarter of 2003, equities regained their footing—benefiting from low interest rates, benign inflation and strong consumer spending—and brushed off the run-up in oil and other commodity prices. The recent bull market has been even more robust outside of the U.S., with world financial markets moving upwards thanks to abundant liquidity and homegrown market-oriented reforms.

The Corporation's annualized compounded return net of fees for the five-year period ending September 30, 2005, is 8.3 percent, allowing, most importantly, the foundation to maintain its purchasing power net of spending. By comparison, the S&P 500 lost 1.5 percent on an annualized basis during this five-year stretch. This strong five-year performance put the Corporation in the top quartile of the Cambridge Associates Over \$1 Billion Universe, and outpaced its policy benchmark of 6.5 percent. Active portfolio management added value in most asset classes relative to their respective benchmarks over the five-year period ending September 30, 2005, attesting to strong underlying manager performance. Ample

diversification, with meaningful exposure to alternative asset classes and Emerging Markets, helped the Corporation weather the equity storm in the first half of the period and drove returns more recently.

The Corporation's asset allocation as of September 30, 2005, is illustrated below.

On a one- and five-year basis ending September 30, 2005, the Corporation's net overall annualized performance was extremely strong, delivering 20.9 percent and 8.3 percent, respectively. The Corporation's Global Equity portfolio performed well on a one and five-year basis, producing annualized returns of 23.7 percent and 8.8 percent, respectively. Outstanding performance from Absolute Return strategies and Real Estate & Resources buoyed results throughout the five-year period, with Private Equity generating significant returns more recently. On a one-year basis, Absolute Return produced net returns of 17.7 percent, Private Equity returned 26.7 percent, and Real Estate & Resources surged 33.1 percent. Moreover, the Corporation's tactical overweighting of Emerging Markets above its policy target,

Asset Class	Market Value (Millions)	Actual Allocation	Policy Allocation	1-Yr Return	
				Actual	Benchmark
Global Equity	\$ 958	42.7%	40.0%	23.7%	25.0%
<i>Developed Markets</i>	\$ 728	32.5%	32.0%	18.5%	19.5%
<i>Emerging Markets</i>	\$ 230	10.2%	8.0%	44.8%	47.2%
Fixed Income	\$ 209	9.3%	13.0%	3.7%	2.7%
Absolute Return	\$ 505	22.5%	21.5%	17.7%	7.8%
Private Equity	\$ 259	11.6%	11.5%	26.7%	N/A <sup>(1)</sup>
Real Estate & Resources	\$ 233	10.4%	12.5%	33.1%	19.2%
Cash	\$ 79	3.5%	1.5%	2.7%	2.8%
<b>Total Portfolio</b>	<b>\$ 2,243</b>	<b>100.0%</b>	<b>100.0%</b>	<b>20.9%</b>	<b>N/A</b>

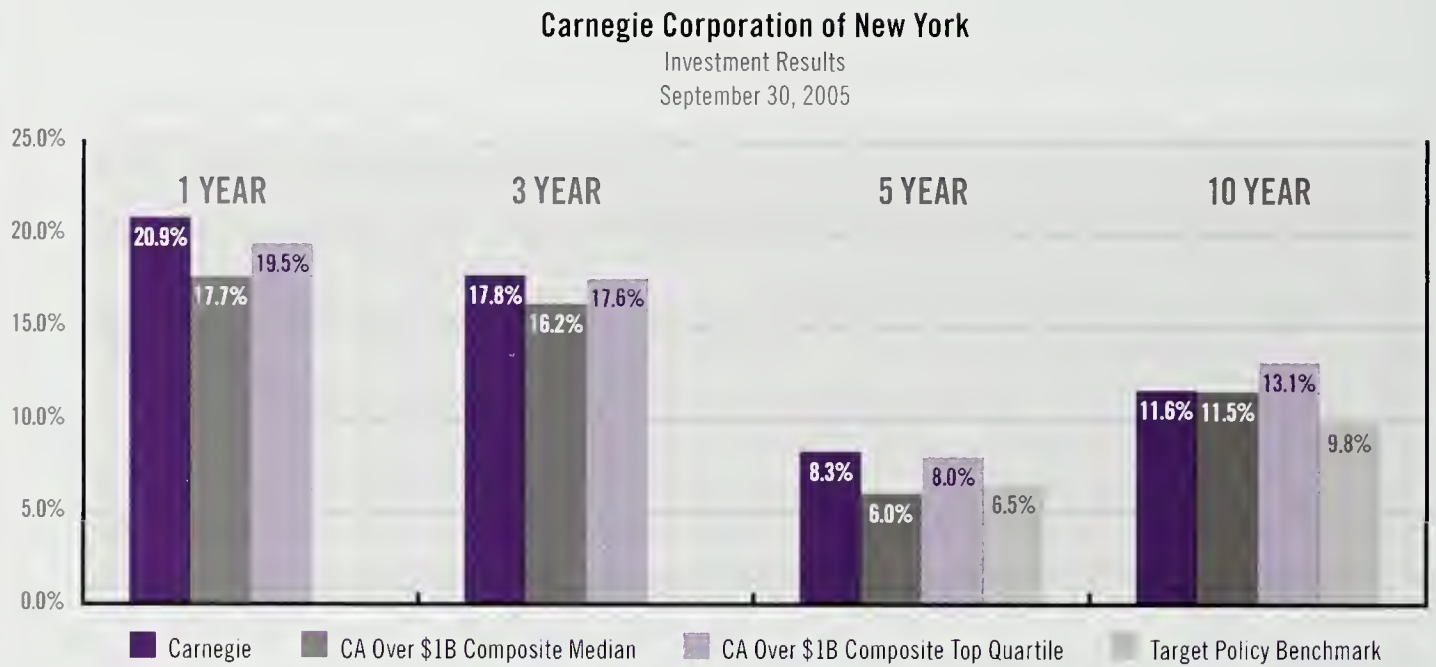
(1) The Corporation's Private Equity benchmark of *Russell 2000 plus 500 basis points* is used for periods of 5 years or greater. Beginning October 1, 2005, the benchmark will change to the Cambridge Associates U.S. Venture Capital and U.S. Private Equity Indices for all future periods.

given the investment staff's belief in its relative value versus other opportunities, has paid dividends: on a one-, three- and five-year basis, the Corporation's Emerging Markets portfolio generated net returns of 44.8 percent, 36.5 percent, and 14.1 percent, respectively.

The Corporation's overall investment performance over the decade ending September 30, 2005, is illustrated below.

Valuations of financial assets remain rich for every asset category and in every region

of the world. Consequently, we agree with the consensus forecast that returns will be relatively modest for the next several years, and are likely to be lower than those of the past decade. The Corporation's portfolio is positioned defensively to do well in a challenging environment, given its substantial diversification, emphasis on fundamental manager research, and bottoms-up security selection throughout the portfolio.







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207

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<sup>10</sup> Through January 2004

<sup>11</sup> Through January 2006

<sup>12</sup> Through June 2004



Index

# Index

18-35 Inc. 138

52<sup>nd</sup> Street Project, Inc. 67, 165

651 Arts 67

9/11 Public Discourse Project 59

## A

Aaron Davis Hall, Inc. 67, 165

Abingdon Theatre Company 165

Abou El Fadl, Khaled M. 155

Academy for Educational Development, Inc. 8, 9, 12,  
46, 106, 107, 109

Academy of American Poets, Inc. 67, 165

Achieve, Inc. 108, 110

Action Without Borders, Inc. 41, 47

Active Voice 62

African Virtual University 116

Afsaruddin, Asma 155

Agenda for Children Tomorrow 165

Agudath Israel of America Inc. 165

Ahmadu Bello University 19, 117, 163

Albany, University at, State University of New York 11

Alianza Dominicana Inc. 67, 165

All Kinds of Minds 14

AllAfrica Foundation 62, 158

Alley Pond Environmental Center, Inc. 67, 165

Alliance for Excellent Education Inc. 104

Alliance for Justice 134

Alliance for Nonprofit Management, Inc. 138

Alliance for the Arts, Inc. 67, 165

Alliance of Resident Theatres/New York 67, 165

Alpha Workshops 165

Amas Musical Theatre, Inc. 165

America Abroad Media 63

America Speaks, Inc. 138

American Assembly 53

American Association of People with Disabilities 47, 136

American Association of State Colleges and  
Universities 112

American Association of University Professors 138

American Council of Learned Societies 25

American Council on Education 9

American Documentary, Inc. 47

American Enterprise Institute

for Public Policy Research 57

American Folk Art Museum 67, 165

American Foreign Policy Council 127

American Forum 138

American Forum for Global Education 148

American Foundation for the Blind 157

American Institute for

Research in the Behavioral Sciences 7

American Institutes for Research 12, 109

American Jewish Historical Society 165

American Library Association 21

American Museum of Natural History 112

American Museum of the Moving Image 67, 165

American Music Center 67, 165

American Place Theatre, Inc. 67, 165

American Prospect, Inc. 138

American Red Cross 150

American Symphony Orchestra League 165

American University 138

American Youth Work Center 158

Amethyst House, Inc. 165

Amethyst Women's Project Inc. 165

Amigos del Museo del Barrio 67, 165

Annenberg Institute for School Reform,  
Brown University 12, 109

Annenberg Public Policy Center,  
University of Pennsylvania 39, 46

Annenberg School for Communication,  
University of Pennsylvania 39

Annenberg School of Communication,  
University of Southern California 152, 159

Anthology Film Archives 67, 165

APCO Africa 66, 163

Arab American Institute Foundation 132

Arizona, University of 112

Arizona Institute for Public Life 138

Arkansas, University of, at Little Rock 138

Art in General, Inc. 67, 165

Arthur Aviles Typical Theatre Inc. 67, 165

Artists Space, Inc. 67, 165

Arts Connection 67, 165

Asian American Art Alliance 67, 165

Asian American Federation of New York 149

Asian American Justice Center *133*  
 Asian Americans for Equality, Inc. *59, 165*  
 Asian Americans/Pacific Islanders in Philanthropy *138*  
 Asian Pacific American Legal Center  
     of Southern California, Inc. *132*  
 Aspen Institute, Inc. *12, 32, 53, 108, 111, 112, 127*  
 Aspen Philanthropy Letter *162*  
 Aspira of New York, Inc. *67, 165*  
 Association for Community-Higher  
     Education Partnerships *47*  
 Association for the Development of  
     Education in Africa *50*  
 Association of African Universities *19, 21, 22, 120*  
 Association of American Colleges and Universities *112*  
 Association of Commonwealth Universities *22*  
 Association of Governing Boards of  
     Universities and Colleges *14*  
 Association of the Bar of the City of  
     New York Fund, Inc. *145*  
 Atlantic, College of the *15*  
 Atlantic Theater Company *67, 165*  
 Audubon Partnership for Economic  
     Development LDC *165*  
 Azimuth Media *159*

## B

Ballet Hispanico of New York *67, 165*  
 Ballet Tech Foundation, Inc. *67, 165*  
 Bard College *112, 122*  
 Bargemusic Ltd. *67, 165*  
 Barnard College *57*  
 Bartels, Larry *60*  
 Baruch College, City University of New York *111*  
 BBB Wise Giving Alliance *138*  
 Bedford Stuyvesant Restoration *67, 165*  
 Berkeley, Bill *60*  
 Berkeley Center for Synthetic Biology *124*  
 Bi-Folkal Productions *160*  
 Big Brothers and Big Sisters of New York City Inc.  
     *67, 165*  
 Big Sky Institute for the Advancement of Nonprofits *47*  
 Bill of Rights Institute *45*  
 Billie Holiday Theatre Incorporated *67, 165*  
 Bloomingdale School of Music Inc. *67, 165*  
 Boardsource *47*

Borough of Manhattan Community College  
     Performing Arts Center, Inc. *67, 166*  
 Boston College *53*  
 Boston Review *63*  
 Boston University *22, 53*  
 Bowen, John R. *155*  
 Bowery Mission *68*  
 Boys & Girls Harbor, Inc. *67, 166*  
 Boys Choir of Harlem, Inc. *67, 166*  
 Bradford, University of *27*  
 Brennan, William J., Jr., Center for Justice, Inc. *43, 138*  
 Brigham Young University *138*  
 Brighthouse, Harry *60*  
 British American Security Information Council *34*  
 Broadway Housing Communities Inc. *67, 166*  
 Bronx Arts Ensemble *67, 166*  
 Bronx Council on the Arts, Inc. *67, 166*  
 Bronx County Historical Society *67, 166*  
 Bronx Museum of the Arts *67, 166*  
 Bronx River Art Center, Inc. *67, 166*  
 Brookings Institution *27, 47, 48, 57, 139, 148*  
 Brooklyn Academy of Music, Inc. *67, 166*  
 Brooklyn Arts Council, Inc. *67, 166*  
 Brooklyn Arts Exchange, Inc. *166*  
 Brooklyn Botanic Garden Corp. *67, 166*  
 Brooklyn Children's Museum *68, 166*  
 Brooklyn Conservatory of Music *68, 166*  
 Brooklyn Historical Society *68, 166*  
 Brooklyn Information & Culture, Inc. *68, 166*  
 Brooklyn Institute of Arts and Sciences  
     (The Brooklyn Museum) *166*  
 Brooklyn Philharmonic Symphony  
     Orchestra, Inc. *68, 166*  
 Brooklyn Public Library Foundation, Inc. *59*  
 Brooklyn USA Athletic Association, Inc. *68, 166*  
 Brooklyn Youth Chorus Academy Inc. *68, 166*  
 Brown University *32, 34, 35, 45, 112, 129*  
 Bulletin of the Atomic Scientists *129*  
 Business-Higher Education Forum *54*  
 Business Volunteers Unlimited *48*

## C

Cabin Creek Center for Work and  
     Environmental Studies, Inc. *12*  
 California, University of, Berkeley *15, 124, 138, 145,*  
     *151, 152, 159*

- California, University of, San Diego 27, 121  
 California, University of, Santa Cruz 112  
 Cambridge, University of 121  
 Camera News, Inc. 57  
 Campaign Finance Institute 38  
 Campaign Legal Center, Inc. 48, 139  
 Canadian Polar Commission 35  
 Cape Town, City of 18  
 Cape Town, University of 22, 115, 116, 117, 120, 148  
 Capitol News Connection 160  
 Capozzola, Christopher 60  
 Career Gear Inc. 68, 166  
 Careers Through Culinary Arts Program Inc. 166  
 Caribbean American Center of New York Inc. 166  
 Caribbean Women's Health Association 166  
 Carnegie Advisory Council on Reading to Learn 7, 104  
 Carnegie Corporation of New York 7, 9, 12, 19, 104, 107, 109, 117  
 Carnegie Council on Ethics and International Affairs 129  
 Carnegie Endowment for International Peace 28, 35, 124, 127, 128  
 Carnegie Foundation for the Advancement of Teaching 15  
 Carnegie Institution of Washington 57  
 Carnegie Mellon University 153  
 Carnegie Moscow Center 127  
 Casa Atabex Ache 166  
 Casita Maria, Inc. 68, 166  
 Cathedral Church of St. John the Divine 166  
 Catholic Charities Diocese of Brooklyn & Queens 166  
 Catholic Legal Immigration Network, Inc. 40  
 Catholic University of America 48  
 Cato Institute 139  
 Center for Alternative Sentencing and Employment Services Inc. 68, 166  
 Center for Applied Linguistics 112  
 Center for Arms Control and Non-Proliferation 28  
 Center for Arts Education Inc. 68, 166  
 Center for Community Change 40, 48, 132, 139  
 Center for Court Innovation 68  
 Center for Cultural and Technical Interchange Between East and West, Inc. 121  
 Center for Defense Information, Inc. 32, 33, 65, 129  
 Center for Democracy and Citizenship 46  
 Center for Effective Philanthropy 48  
 Center for Employment Opportunities, Inc. 68, 166  
 Center for Family Life in Sunset Park 68, 166  
 Center for Gender in Organizations 17  
 Center for Governmental Studies, Inc. 38  
 Center for Greater Philadelphia, University of Pennsylvania 11  
 Center for Information and Research and Civic Learning and Engagement (CIRCLE) 137  
 Center for International Security and Cooperation 31, 36  
 Center for International Trade and Security, University of Georgia 128  
 Center for Investigative Reporting, Inc. 139  
 Center for Jewish History Inc. 68, 166  
 Center for Media and Security, Ltd. 124  
 Center for New Community 139  
 Center for Nonproliferation Studies, Monterey Institute of International Studies 125  
 Center for Policy Alternatives 139  
 Center for Policy Studies in Russia 28  
 Center for Public Democracy, Inc. 139  
 Center for Public Integrity 35, 43  
 Center for Public Interest Research, Inc. 48  
 Center for Science and the Media/ScienCentral 63  
 Center for Strategic and International Studies, Inc. 24, 29, 35, 124, 125, 128, 130  
 Center for the Advancement of Health 166  
 Center for the Study of the Presidency 57  
 Center for Traditional Music and Dance, Inc. 68, 166, 170  
 Center for Urban Community Services, Inc. 68, 166  
 Center on Education Policy 12  
 Centers for Advanced Study and Education (CASEs) 26, 123, 124, 157  
 Central European University 57  
 Centre for Higher Education Transformation Trust 117, 120  
 Centro Civico Colombiano Inc. 68, 167  
 Century Foundation 40  
 Chamber Music America, Inc. 68, 167  
 Charity Lobbying in the Public Interest 135  
 Chattanooga-Hamilton County Public Education Fund 10  
 Checkerboard Foundation, Inc. 68, 167  
 Chess-In-The-Schools, Inc. 148, 167  
 Chicago, University of 15, 148, 153  
 Chicago Council on Foreign Relations 49  
 Child Abuse Prevention Program Inc. 167



- Children's Aid Society *167*  
 Children's Health Fund *68, 167*  
 Children's Museum of Manhattan *68, 167*  
 Children's Museum of the Arts, Inc. *68, 167*  
 Chinese American Arts Council Inc. *68, 167*  
 Chinese American Planning Council Inc. *68, 167*  
 Christian Herald Association, Inc. *68, 167*  
 Chronicles Group *158*  
 Cincinnati, University of, Foundation *10*  
 Citizens Budget Commission, Inc. *148*  
 Citizens for NYC, Inc. *68, 167*  
 City Center 55<sup>th</sup> Street Theater  
     Foundation, Inc. *68, 167*  
 City Harvest, Inc. *68, 167*  
 City Lore, Inc. *68, 162, 167*  
 City University of New York *24, 54, 111*  
 City Year, Inc. *167*  
 City Year New York *68*  
 Citymeals-On-Wheels *167*  
 Civil Rights Project, Harvard University *49*  
 Claremont Graduate University *145*  
 Clark Atlanta University *48*  
 Classical Theatre of Harlem Inc. *167*  
 Coalition for DC Representation Education Fund *139*  
 Collaborative Communications Group *109*  
 Colorado, University of *35, 113, 121*  
 Columbia University *35, 130, 152, 159*  
 Committee for Economic Development *38*  
 Committee for Hispanic Children and Families, Inc.  
     *68, 167*  
 Committee of Vice Chancellors and Principals *20*  
 Committee on International Security  
     and Arms Control *30*  
 Common Cause Education Fund *44, 139*  
 Common Ground Community Housing  
     Development Fund *68, 167*  
 Communications Network *48*  
 Community Association of Progressive  
     Dominicans, Inc. *167*  
 Community Foundation  
     for the National Capital Region *139*  
 Community Health Project Inc. *68, 167*  
 Community Preservation Corporation *68, 167*  
 Community Resource Exchange, Inc. *167*  
 Community Service Society of New York *68, 167*  
 Community Television Foundation of South Florida *63*  
 Community Voices Heard, Inc. *139*  
 Congressional Program, Aspen Institute, Inc. *32, 127*  
 Congressional Program on Education,  
     Aspen Institute, Inc. *12, 111*  
 Connect for Kids *113*  
 Connecticut, University of *104*  
 Constitutional Court Trust *54*  
 Constitutional Rights Foundation *45*  
 Cool Culture Inc. *68, 167*  
 Coro New York Leadership Center *167*  
 Corporation for Supportive Housing *69, 167*  
 Council for Advancement and Support of Education *118*  
 Council for Aid to Education *10*  
 Council for Basic Education *10, 15*  
 Council for Excellence in Government *45, 48, 139*  
 Council for the Development of Social Science  
     Research in Africa *120*  
 Council of Independent Colleges *113*  
 Council of Jewish Émigré Community  
     Organizations, Inc. *69, 167*  
 Council of Jewish Organizations of Flatbush, Inc. *167*  
 Council of Peoples Organization Inc. *167*  
 Council on Foreign Relations, Inc. *29*  
 Council on Foundations, Inc. *139, 145*  
 Council on Higher Education *19*  
 Council on the Arts & Humanities  
     for Staten Island *69, 167*  
 Creative Time, Inc. *69, 167*  
 Crenulated Company, Ltd. *113, 171*  
 Crimes of War Education Project *54, 64*  
 Cross City Campaign for Urban School Reform *109*  
 Crown Heights Youth Collective *167*  
 CSC Repertory LTD *167*  
 CUNY TV *160*
- ## D
- Dance New Amsterdam *167*  
 Dance Theater Workshop, Inc. *69, 167*  
 Dance Theatre of Harlem, Inc. *69, 167*  
 Dance USA *69, 168*  
 Dancewave, Inc. *69, 168*  
 Dancing in the Streets, Inc. *69, 168*  
 Danspace Project, Inc. *69, 168*  
 Dar es Salaam, University of *17, 20, 117, 118, 163*  
 Dawisha, Adeed *60*  
 Dayton Peace Accords Project *130*  
 Democracy 21 Education Fund *131*

Democracy Matters Institute 38  
 Democracy North Carolina 49  
 Democracy South 49, 140  
 Demos: A Network for Ideas and Action, Ltd. 136  
 DePaul University 35  
 Development Studies, University for 22  
 Dia Center for the Arts, Inc. 69, 168  
 District of Columbia College Access Program 59  
 Dixon Place 69, 168  
 Doe Fund, Inc. 168  
 Doing Art Together Inc. 69, 168  
 Dominican Women's Development Center 69, 168  
 Dominico-American Society of Queens Inc. 168  
 The Door – A Center of Alternatives, Inc. 168  
 Dorot, Inc. 168  
 Downtown Community Television Center Inc. 69  
 Drawing Center, Inc. 168  
 Dress for Success 69, 168  
 DWA Fanm 69, 168

## E

Earth Day Network Inc. 43  
 Earth Force 46  
 East Harlem Employment Services, Inc. 168  
 East Harlem Tutorial Program, Inc. 69, 168  
 East Side House Settlement 69, 168  
 Economic Policy Institute 49  
 Editorial Projects in Education, Inc. 111  
 Education Commission of the States 137  
 Education Trust, Inc. 13  
 Education Writers Association 65, 109  
 Educational Broadcasting Corporation 64, 160  
 Educational Television Endowment  
   for South Carolina 64  
 Edwards, Brian T. 155  
 El Puente de Williamsburg Inc. 69, 168  
 Elders Share the Arts 69  
 Electronic Reporting Design Institute 140  
 En Foco 69, 168  
 Endowment of the United States Institute  
   of Peace, Incorporated 57  
 Ensemble Studio Theatre, Inc. 69, 168  
 Epic Theatre Center Inc. 168  
 Episcopal Social Services of New York, Inc. 168  
 Equal Justice Society 140  
 ETV Endowment of South Carolina, Inc. 13

European Institute Inc. 130  
 European University in St. Petersburg 26, 123  
 Exit Art – The First World Inc. 69, 168  
 Exploratorium 107  
 Exploring the Metropolis, Inc. 69, 168

## F

Faith and Politics Institute 148  
 Fannie Lou Hamer Project, Inc. 39  
 Federation of American Scientists Fund 29  
 Feldman, Noah R. 155  
 Fels Institute of Government,  
   University of Pennsylvania 44, 142  
 Film/Video Arts, Inc. 69, 168  
 Financial Services Volunteer Corps, Inc. 33  
 Find Aid for the Aged, Inc. 69, 168  
 Firelight Media, Inc. 58, 62  
 First Nations Development Institute 140  
 Fischer, Michael M.J. 155  
 Flea Theatre 69, 168  
 Florida State University  
   Research Foundation, Inc. 15, 105  
 Flushing Council on Culture and the Arts, Inc. 69, 168  
 Flushing Jewish Community Council, Inc. 168  
 Food Bank for New York City 69, 168  
 Fordham, Thomas B., Institute 113  
 Fordham University 49  
 Foreign Policy Association 63, 158  
 Foreign Policy Studies, Brookings Institution 27  
 Forest Hills Community House, Inc. 69, 168  
 Fort Hare, University of 118  
 Fortune Society 69, 168  
 Foundation Center 49, 140  
 Foundation for Library and Information Service  
   Development (Pty) Ltd. 22, 115  
 Foundation Partnership to  
   Strengthen African Universities 19, 62  
 Fountain House, Inc. 69, 168  
 Four Freedoms Fund 163  
 Frank Silvera Writers Workshop Foundation, Inc. 168  
 Fred Friendly Seminars 160  
 Fresh Air Fund 69, 168  
 Friends of Materials for the Arts 69  
 Fund for Constitutional Government 140  
 Fund for New Citizens 50, 150  
 Fund for Peace, Inc. 122, 163

Fund for Public Schools, Inc. *149*  
Fund for the City of New York *68, 140, 165, 168*  
Funders' Committee for Civic Participation *48, 142*

## G

Gailer School at Middlebury *148*  
Gamaliel Foundation *49*  
Gateway Symphony of Staten Island, Inc. *69*  
Gay Men's Health Crisis Inc. *69, 168*  
George Washington University *34, 140*  
Georgetown University *35, 123, 131, 146*  
Georgia, University of *128*  
Georgia Tech Foundation Inc. *35*  
Ghana, University of, Legon *20*  
Ghetto Film School Inc. *69, 168*  
Gilda's Club New York City Inc. *69, 168*  
Girls Education and Mentoring Service Inc. *168*  
Girls Incorporated of New York City *69, 169*  
Global Security Institute *130*  
God's Love We Deliver, Inc. *69, 169*  
Goldman School of Public Policy,  
    University of California, Berkeley *124*  
Good Shepherd Services *69, 169*  
Government Accountability Project Inc. *140*  
Graduate Center of the  
    City University of New York *24, 54, 141*  
Graduate School of Journalism,  
    University of California, Berkeley *151, 159*  
Graduate School of Journalism,  
    Columbia University *152, 159*  
Grand Street Settlement, Inc. *69, 169*  
Grantmakers Concerned with  
    Immigrants and Refugees *51*  
Grantmakers for Education *140*  
Grantmakers for Effective Organizations *49*  
Greater Birmingham Ministries, Inc. *140*  
Greater Washington Educational  
    Telecommunications Association, Inc. *15, 64*  
Greenhope Services for Women Inc. *169*  
Greenlining Institute *39*  
GuideStar *42*

## H

H.T. Dance Company, Inc. *70, 169*  
Haitian Centers Council Inc. *70, 169*  
Hale House Foundation, Inc. *70, 169*  
Harlem Arts Alliance *169*  
Harlem Children's Zone, Inc. *70, 169*  
Harlem Congregations for  
    Community Improvement, Inc. *169*  
Harlem Dowling Westside Center for  
    Children and Family Services *70, 169*  
Harlem Educational Activities Fund, Inc. *70, 169*  
Harlem School of the Arts *70, 169*  
Harlem Textile Works *70, 169*  
Harlem United Community AIDS Center, Inc. *169*  
Hartnick Consulting *66*  
Harvard Sussex Program *31*  
Harvard University *29, 31, 33, 35, 49, 113, 132, 148,*  
    *152, 159*  
Hashmi, Sohail H. *155*  
Hathaway, Oona *60*  
Haykel, Bernard *155*  
Heart of Brooklyn Cultural Institutions, Inc. *169*  
Hechinger Institute *63*  
HERE *70, 169*  
Heritage Health and Housing, Inc. *70, 169*  
Hetrick-Martin Institute, Inc. *70, 169*  
High 5 Tickets to the Arts, Inc. *70, 169*  
Highbridge Community Life Center, Inc. *169*  
Highbridge Voices *70, 169*  
Hispanics in Philanthropy *140*  
Historic House Trust of New York City, Inc. *70, 169*  
Hoboken Board of Education *150*  
Holy Apostles Soup Kitchen *70, 169*  
Homecrest Community Services, Inc. *70, 169*  
HOPE Foundation, Inc. *49*  
Hope Program, Inc. *169*  
Horizon Concerts Inc. *70, 169*  
Hospital Audiences, Inc. *70, 169*  
Hostos Community for the Arts and Culture *70, 169*  
Hour Children Inc. *169*  
Housing Works Inc. *70*  
Houston, University of *49*  
Human Interaction Research Institute *49*  
Human Rights First *146*  
Human Rights Watch, Inc. *55*  
Hunt, James B, Jr., Institute for Educational  
    Leadership and Policy Foundation, Inc. *11*

## I

Ice Theatre of New York 169  
 Idealist.org 41  
 Ifetayo Cultural Arts Facility, Inc. 169  
 Illinois, University of, at Urbana Champaign 22, 116  
 Illinois, University of, Chicago 105  
 Immigrant Workers Citizenship Project 49  
 Independent Sector 49, 135, 140  
 Indiana University 35, 140  
 Indochina Sino-American  
     Senior Citizen Center Inc. 169  
 InMotion, Inc. 70, 169  
 Institute for Advanced Journalism Studies 160  
 Institute for Advanced Study 58  
 Institute for Educational Leadership, Inc. 109, 113  
 Institute for Foreign Policy Analysis, Inc. 30  
 Institute for Government Foundation, Inc. 46  
 Institute for International Economics 146  
 Institute for International Studies 125  
 Institute for War and Peace Reporting 161  
 Interfaith Center of New York 58  
 Interfaith Education Fund, Inc. 40  
 Interfoto 65  
 International Arts Relations, Inc. 169  
 International Center for  
     Innovation in Civic Participation 140  
 International Center for Journalists 161  
 International Center for Transitional Justice 58  
 International Crisis Group 24  
 International Foundation of  
     Red Cross and Red Crescent Societies 150  
 International Human Rights Funders Group 142  
 International Institute for Educational Planning 50  
 International Institute for Strategic Studies 30, 130  
 International Print Center New York 70, 169  
 International Reading Association 15  
 International Reporting Project 161  
 International Rescue Committee, Inc. 150  
 International Research and Exchanges Board, Inc. 26  
 International Women's Media Foundation 66, 163  
 Internews Network 35, 128  
 Investigative Reporters and Editors, Inc. 50  
 Inwood House 70, 169  
 Iowa State University 50  
 Irish Repertory Theatre Company, Inc. 70, 169  
 Irondale Productions, Inc. 169

Isamu Noguchi Foundation and  
 Garden Museum, Inc. 70, 169

## J

Jacob A. Riis Neighborhood Settlement 170  
 Jacques Marchais Center of Tibetan Art 70, 170  
 Jalal, Ayesha 155  
 Jamaica Center for Arts and Learning, Inc. 170  
 Jamal, Amaney A. 155  
 Japan Center for International Exchange 148  
 Jazzmobile, Inc. 170  
 JEHT Foundation 43  
 Jewish Children's Museum 170  
 Jewish Community Council of  
     Greater Coney Island, Inc. 170  
 Jobs for the Future Inc. 13  
 Johannesburg, City of 116  
 Johannesburg, City of,  
     Library and Information Services 22  
 John A. Noble Collection 70, 170  
 John Heuss House 70, 170  
 Johns Hopkins University 7, 42, 64, 113, 161  
 Jos, University of 117, 163  
 José Limón Dance Foundation 70, 170  
 Journalism Initiative 63  
 Joyce Theater Foundation 70, 170  
 JSTOR 55  
 Justice at Stake 66, 131

## K

Kansas, University of,  
     Center for Research, Inc. 7, 15, 105  
 Kennedy, John F.,  
     School of Government 33, 132, 159  
 Khalid, Adeb 155  
 Kimmel, Michael 60  
 King Manor Association of Long Island, Inc. 70, 170  
 Kings Majestic Corporation 170  
 Kips Bay Boys and Girls Club, Inc. 170  
 KnowledgeWorks Foundation 15  
 Korean American Family Service Center, Inc. 70, 170  
 KUSH Inc. 148  
 KwaZulu-Natal, University of 22, 115, 118, 163

## L

La Asociación Benéfica Cultural Father Billini 170  
La Mama Experimental Theatre Club, Inc. 70, 170  
Labyrinth Inc. 170  
Lake Forest College 113  
Latin American Integration Center 170  
Lawyers' Committee for Civil Rights Under Law 43  
Leadership Foundation 22, 120  
Learning Leaders, Inc. 70, 170  
Learning Matters, Inc. 64, 113  
Lehman College Center for the Performing Arts 70, 170  
Library and Information Association of South Africa 18  
Little Orchestra Society 72, 172  
Long Island Educational Television Council 64  
Louis Armstrong House & Archives 70, 170  
Lower East Side Printshop, Inc. 70, 170  
Lower East Side Tenement Museum 50, 70, 170  
Lower Manhattan Cultural Council, Inc. 71, 170  
Lucas, George, Educational Foundation 113

## M

Mabou Mines Development Foundation, Inc. 71, 170  
Makerere University 17, 20, 23, 117, 118, 163  
Mandelbaum, Michael 60  
Manhattan Children's Advocacy Center 170  
Manhattan Class Company, Inc. 71, 170  
Manhattan Institute for Policy Research, Inc. 141  
Manhattan Theater Club, Inc. 71, 170  
Mariachi Academy of New York 170  
Mark Morris Dance Group 71, 170  
Martha Graham Center of  
    Contemporary Dance, Inc. 71, 170  
Maryland, University of, College Park 35, 50, 141  
Maryland, University of,  
    College Park Foundation, Inc. 58  
Maryland, University of, Foundation, Inc. 50, 65,  
    122, 137, 141, 146  
Maryland Association of Nonprofit Organizations 42  
Massachusetts Institute of Technology 23, 118, 125,  
    130, 136  
Materials for the Arts Association 170  
Ma-Yi Filipino Theatre Ensemble Inc. 71, 170  
Medill School of Journalism,  
    Northwestern University 147, 152, 159

Meet the Composer, Inc. 71, 170  
MEM Associates, Inc. 58  
Mentoring Partnership of New York 71  
Mercy Corps 129, 150  
Mexican American Legal Defense  
    and Educational Fund, Inc. 50  
Michigan State University 8, 105  
Michigan, University of 8, 26, 106, 113, 133, 141  
Middle East Natives, Testing,  
    Orientation, and Referral Services, Inc. 170  
Midori Foundation, Inc. 71, 170  
Migration Policy Institute 133  
Mind-Builders Creative Arts Co., Inc. 71, 171  
Minnesota, University of 46  
MMB Media 64  
Montefiore Medical Center 71  
Montefiore Medical Center,  
    Adolescent AIDS Program 171  
Montefiore Medical Center,  
    Women's Center for HIV 171  
Monterey Institute of International Studies 36, 125, 130  
Moosa, Ebrahim E.I. 155  
Moscow School of Political Studies 129  
Mount Sinai School of Medicine  
    of New York University 171  
Moving Image 65  
Msunduzi Municipality 18  
Municipal Art Society of New York 71, 171  
Museum for African Art 71, 171  
Museum of Arts and Design 71, 171  
Museum of Chinese in the Americas 71, 171  
Museum of Jewish Heritage –  
    Living Memorial to the Holocaust 70, 170  
Museum of the City of New York 71, 171  
Music Outreach –  
    Learning Through Music, Inc. 71, 171

## N

N Power 51, 135  
NAACP Legal Defense and Educational Fund, Inc. 55  
NALEO Educational Fund, Inc. 133  
National Academy of Sciences 15, 30, 32, 33, 36,  
    113, 126  
National Asian Pacific American  
    Legal Consortium 133, 141

- National Association of  
Secondary School Principals *113*
- National Association of State Universities  
and Land-Grant Colleges *148*
- National Board for Professional  
Teaching Standards, Inc. *15*
- National Center for Creative Aging Inc. *171*
- National Center for Disability Services *71, 171*
- National Center for Family Literacy, Inc. *15*
- National Center for Learning and Citizenship *137*
- National Center on Nonprofit Enterprise *141*
- National Choral Council, Inc. *71, 171*
- National Coalition of Community  
Foundations for Youth *13*
- National Committee on American Foreign Policy *30, 36*
- National Conference of State Legislatures *141*
- National Constitution Center *44, 141*
- National Council for Eurasian  
and East European Research *123*
- National Council for Tertiary Education *20*
- National Council of La Raza *133*
- National Council of the Churches of Christ  
in the U.S.A. *149*
- National Dance Institute, Inc. *71, 171*
- National Defense University Foundation, Inc. *130*
- National Governors Association *106, 108, 110*
- National Governors' Association Center  
for Best Practices *106*
- National High School Alliance *109*
- National History Center Inc. *149*
- National Immigration Forum, Inc. *134*
- National Institute on Money in State Politics *131*
- National Mentoring Partnership, Inc. *171*
- National Organization on Disability, Inc. *50*
- National Public Radio *162*
- National School Boards Association *113*
- National Security Archive Fund, Inc. *34*
- National Youth Employment Coalition, Inc. *110*
- Near East Foundation *149*
- Negro Ensemble Company, Inc. *71, 171*
- Neighborhood Coalition for Shelter, Inc. *171*
- Neighborhood Funders Group *50, 141*
- Network for Good *135*
- New 42<sup>nd</sup> Street, Inc. *71, 171*
- New Alternatives for Children, Inc. *71, 171*
- New Century High Schools Consortium  
for New York City *12*
- New Dramatists, Inc. *71, 171*
- New Federal Theatre *71, 171*
- New Heights Neighborhood Center Inc. *171*
- New Museum of Contemporary Art *71, 171*
- New School University *26, 36, 55, 149*
- New Settlement Apartments *171*
- New Victory Theater *71*
- New Visions for Public Schools, Inc. *59, 111*
- New World Foundation *141*
- New York Academy of Medicine *149*
- New York Cares, Inc. *71, 171*
- New York Chinese Cultural Center, Inc. *71, 171*
- New York City Mission Society *71, 171*
- New York City Outward Bound Center, Inc. *71, 171*
- New York City Rescue Mission *71, 171*
- New York Community Trust *50, 150*
- New York Foundation for Architecture, Inc. *171*
- New York Foundation for the Arts, Inc. *71, 171*
- New York Hall of Science *71, 171*
- New York Historical Society *71, 171*
- New York Institute for Special Education *16*
- New York Metropolitan Martin Luther King Jr.  
Center for Nonviolence Inc. *171*
- New York Public Library *59*
- New York Regional Association of  
Grantmakers, Inc. *50, 142*
- New York Shakespeare Festival *71, 171*
- New York Studio School of Drawing,  
Painting & Sculpture, Inc. *71, 171*
- New York Theatre Workshop *71, 171*
- New York University *12, 16, 21, 24, 25, 43,  
109, 110, 142*
- New York University Child Study Center *171*
- New York Urban League, Inc. *71, 172*
- New York Women's Foundation *71, 172*
- New York Youth Symphony, Inc. *71, 172*
- New Yorkers for Children Inc. *72, 172*
- Nigeria ICT Forum of Partnership Institutions *119*
- Nightly Business Report *161*
- Nixon, Richard, Library & Birthplace Foundation *34*
- Nontraditional Employment for Women *172*
- Nonviolent Peaceforce *130*
- Norte Dame, University of *134*
- North Carolina Center  
for Public Policy Research Inc. *50*
- North Carolina Center for Voter Education *50*
- North-South Institute *130*

Northeast Action, Inc. 142  
Northern California Grantmakers 50, 51, 142  
Northside Center for Child Development, Inc. 72, 172  
Northwestern University 36, 110, 147, 152, 154, 159  
NpowerNY, Inc. 172  
Nuclear Threat Initiative Inc. 56  
Nuyorican Poets Cafe, Inc. 72, 172

## O

Obafemi Awolowo University 117, 163  
Objective Reality Foundation 65  
Ontological-Hysteric Theater, Inc. 72, 172  
Open Channels New York, Inc. 168  
Opus 118 Music Center 72, 172  
Oregon, University of 23  
Orpheon, Inc. 72, 172  
Orpheus Chamber Orchestra, Inc. 172

## P

P.S.1 Contemporary Art Center, Inc. 72, 172  
Pacific, University of the 126  
Pacific Institute for Community Organizations 114, 142  
Pamoja, Inc. 23  
Pan Asian Repertory Theatre, Inc. 72, 172  
Pape, Robert A. 60  
Paper Bag Players, Inc. 72, 172  
Partners for Democratic Change 51  
Partnership for Higher Education in Africa 19, 21, 116, 117, 119  
Partnership for the Homeless Inc. 72, 172  
Partnership with Children, Inc. 72, 172  
Paul Taylor Dance Foundation 72, 172  
Payne, Charles 60  
Peace and Security Funders Group 36  
Peace Games Inc. 51  
Pearl Theatre Company, Inc. 72, 172  
PEN American Center, Inc. 149  
Pennsylvania, University of 11, 16, 39, 44, 46, 120, 137, 142  
People and Stories – Gente y Cuentos, Inc. 58  
People for the American Way Foundation 44  
Per Scholas, Inc. 172  
Performance Space 122, Inc. 72, 172  
Philanthropic Research, Inc. 42, 51

Philanthropic Ventures Foundation 142  
Philanthropy Roundtable 51, 142  
Phipps Community Development Corporation 72, 172  
Phoenix House Development Fund, Inc. 72, 172  
Pick Up Performance Company, Inc. 172  
Pildes, Richard 60  
Piper Fund 131  
Pittsburgh, University of 8, 130  
Playwrights Horizons, Inc. 72, 172  
Ploughshares Fund 36  
Poets & Writers, Inc. 72, 172  
Poets House, Inc. 72, 172  
Point Community Development Corp. 72, 172  
Polish & Slavic Center, Inc. 72, 172  
Posse Foundation 72, 172  
Pregones Touring Puerto Rican Theatre Collection, Inc. 72, 172  
Pretoria, University of 119  
Primary Stages Company Inc. 172  
Princeton University 58, 126  
Pro Bono Net, Inc. 142  
Project Hospitality Inc. 72, 172  
Project on Government Oversight, Inc. 47  
Project Vote/Voting for America, Inc. 44  
Proteus Fund, Inc. 51, 131, 142  
Providence House, Inc. 172  
Public Agenda Foundation, Inc. 51  
Public Art Fund, Inc. 72, 172  
Public Broadcasting Council of Central New York 162  
Public Campaign 39, 142  
Public Citizen Foundation, Inc. 51  
Public Interest Projects 134, 147  
Public International Law and Policy Group 122  
Public Radio International, Inc. 147  
Publicolor, Inc. 72, 172  
Puerto Rican Legal Defense and Education Fund, Inc. 51  
Puerto Rican Traveling Theatre Co., Inc. 172  
Pulse Ensemble Theatre Inc. 172  
Puppies Behind Bars Inc. 72, 172

## Q

Queens Botanical Garden Society, Inc. 72, 172  
Queens College Foundation, Inc. 72, 172  
Queens Council on the Arts, Inc. 72, 172  
Queens County Farm Museum 72, 173

Queens Library Foundation, Inc. 59  
 Queens Museum of Art 72, 173  
 Queens Symphony Orchestra, Inc. 72, 173  
 Queens Theatre in the Park, Inc. 72, 173  
 Quest Scholars Program 114  
 Quintet of the Americas, Inc. 173

## R

Raccoon, Inc. 173  
 Rachel's Place 72, 173  
 Radio and Television News Directors Foundation 65  
 RAND Corporation 9, 10, 107  
 Ranis, Gustav 60  
 Reardon, Sean 61  
 Reboot, Inc. 142  
 Reed, Douglas 61  
 Reform Institute Inc. 44  
 Research for Action 14  
 Research Foundation of the  
     City University of New York 111, 149  
 Ringside, Inc. 72, 173  
 Rivera, Tomás, Policy Institute 51, 142  
 Riverdale Community Center, Inc. 72, 173  
 Robeson, Paul, Foundation Inc. 58  
 Rock the Vote Education Fund 51  
 Rockaway Development & Revitalization Corp. 173  
 Rockefeller Family Fund, Inc. 51, 142  
 Room to Grow 72, 173  
 Rosen, Lawrence 155  
 Royal Institute of International Affairs 34  
 Russian American Nuclear Security  
     Advisory Council 30  
 Rutgers, The State University of New Jersey 16  
 Rutgers University Foundation 143

## S

Sachedina, Abdulaziz 156  
 Sadie Nash Leadership Project Inc. 173  
 Safe Space NYC, Inc. 173  
 Saint Anselm College 52, 143  
 Sakhi for South Asian Women 72, 173  
 Salzburg Seminar in American Studies, Inc. 123, 149  
 Samaritan Foundation, Inc. 72, 173  
 Sanctuary for Families, Inc. 72, 173

Sandy Ground Historical Society Inc. 72, 173  
 Saratoga International Theater Institute, Inc. 73, 173  
 Save the Children Federation, Inc. 150  
 SCAN New York Volunteer Parent-Aides Association  
     73, 173  
 Schools for a New Society 12, 62, 66, 108, 109  
 Scripps College 36  
 Search and Care 173  
 Second Stage Theatre, Inc. 173  
 Security Studies Program,  
     Massachusetts Institute of Technology 125  
 Selfhelp Community Services, Inc. 73, 173  
 Senior Action in a Gay Environment, Inc. 173  
 Sesame Flyers International Inc. 73, 173  
 Shakespeare Project, Inc. 73, 173  
 Sherwood-Randall, Elizabeth 61  
 Shorenstein Center on the Press, Politics  
     and Public Policy, Harvard University 152  
 Signature Theatre Company, Inc. 73, 173  
 Simmons College 17  
 Smolny College of Liberal Arts 122  
 Snug Harbor Cultural Center, Inc. 73, 173  
 Social Science Research Council 41, 126  
 Society for the Preservation of Weeksville  
     and Bedford-Stuyvesant History 73, 173  
 Socrates Sculpture Park, Inc. 73, 173  
 Soho Repertory Theatre, Inc. 73, 173  
 South African Bibliographic  
     and Information Network 23  
 South African Research & Innovation  
     Management Association 23  
 South Asian Youth Action SAYA Inc. 73, 173  
 Southern California, University of 143, 152, 159  
 Southern Center for International Studies, Inc. 16  
 Southern Regional Council, Inc. 143  
 Southern Rural Development Initiative, Inc. 143  
 Spanish Theatre Repertory Ltd. 173  
 Sponsors for Educational Opportunity, Inc. 58, 143  
 SRI International 12, 109  
 St. Ann Center for Restoration and  
     the Arts, Inc. 73, 173  
 St. Francis Friends of the Poor Inc. 73, 173  
 St. Luke's Chamber Ensemble 73, 173  
 St. Luke's Roosevelt Hospital Center 173  
 St. Petersburg State University 122  
 St. Rita's Center for Immigrants &  
     Refugee Services 73, 173



Stanford University *11, 26, 29, 31, 36, 107, 114*  
Stanley M. Isaacs Neighborhood Center *73, 173*  
Starfish Theatreworks Inc. *173*  
Staten Island Botanical Garden, Inc. *73, 173*  
Staten Island Children's Museum *73, 174*  
Staten Island, College of, Foundation, Inc. *68, 167*  
Staten Island Historical Society *73, 174*  
Staten Island Institute of Arts and Sciences *73, 174*  
Staten Island Mental Health Society, Inc. *174*  
Staten Island Zoological Society, Inc. *73, 174*  
Stimson, Henry L., Center *25, 31, 127*  
Stony Brook Foundation, Inc *36*  
Strategic Education Research Partnership Institute *106*  
Studio in a School Association *73, 174*  
Studio Museum in Harlem, Inc. *73, 174*  
Sunnyside Community Services, Inc. *174*  
Supreme Court Historical Society *149*  
Sussex, University of *31*  
Symphony Space *73, 174*  
Syracuse University *52*

## T

TADA! Theater and Dance Alliance, Inc. *73, 174*  
Tannenbaum, Rabbi Marc H., Foundation, Inc. *149*  
Target Margin Theater, Inc. *73, 174*  
Teachers and Writers Collaborative *73, 174*  
Teachers College of Columbia University *63, 104*  
Teachers for a New Era *8, 9, 106, 107*  
Temple University *16, 36*  
Tennessee, University of *16*  
Tertiary Education Network *119*  
Thalia Spanish Theatre, Inc. *73, 174*  
Theater by the Blind Corp. *73, 174*  
Theater for the New City *73, 174*  
Theatre Communications Group, Inc. *174*  
Theatre for a New Audience, Inc. *73, 174*  
Third Sector New England, Inc. *42, 52*  
Third Street Music School Settlement, Inc. *73, 174*  
Thompson, Elizabeth F. *156*  
Tides Center *23, 52, 143*  
Tolentine Zeiser Community Life Center, Inc. *173*  
Topaz Arts Inc. *174*  
Town Hall Foundation, Inc. *73, 174*  
Toynbee Prize Foundation, Inc. *58*  
Triangle Arts Association Limited *174*  
Tribeca Film Institute *73, 174*

Triple Candie Inc. *73, 174*  
Trisha Brown Dance Company, Inc. *73, 174*  
Tufts University *36, 143*

## U

Union Settlement Association *73, 174*  
United Activities Unlimited, Inc. *73, 174*  
United Leaders *143*  
United Nations *56*  
United Nations Development Programme *62, 157*  
United States Civilian Research and Development  
Foundation for the Independent States of the  
Former Soviet Union *123*  
United States Conference of Mayors *111*  
United States Fund for UNICEF *150*  
University Corporation for  
Advanced Internet Development *120*  
University Settlement Society of New York *73, 174*  
Urban Dove Inc. *174*  
Urban Institute *136*  
Urban Stages/Playwrights Preview Productions, Ltd. *174*  
UrbanGlass/New York Contemporary  
Glass Center, Inc. *74*  
US Pugwash *31*  
Utah, University of *144*

## V

V-Day *174*  
Vance, Cyrus R., Center for International Law *145*  
Velásquez, William C., Institute, Inc. *41, 144*  
Vera Institute of Justice, Inc. *74, 174*  
Veritas Therapeutic Community Foundation, Inc.  
*74, 174*  
Vietnam Veterans of America Foundation *36*  
Village Care of New York, Inc. *74, 174*  
Vineyard Theatre and Workshop Center, Inc. *74, 174*  
Virginia, University of *16*  
Visiting Nurse Service of New York *174*  
Vital Voices Global Partnership *58*  
Volunteer Consulting Group, Inc. *52*  
VoterLink Data Systems *44*

## W

Washington, University of *11, 108, 114*  
 Watson Institute for International Studies,  
     Brown University *32, 45*  
 Wave Hill, Inc. *74, 174*  
 West End Intergenerational Residence,  
     HDFC, Inc. *74, 174*  
 WestEd *14*  
 Western Cape, University of the *23, 119, 120, 149*  
 WGBH Educational Foundation *65, 162*  
 WhatGoesAround.org *159*  
 White House Project *158*  
 Wilson, Woodrow, International Center  
     for Scholars *25, 56, 124*  
 Wilton Park *36, 37, 130*  
 Winneba, University of Education *17, 21, 117, 163*  
 Wisconsin, University of, Foundation *56, 108*  
 Wisconsin, University of, Madison *143*  
 Witwatersrand, University of the *115, 119, 163*  
 Women in Need, Inc. *74, 174*  
 Women Vote *163*  
 Women's eNews *159*  
 Women's Foreign Policy Group *159*  
 Women's Housing and Economic  
     Development Corporation *74, 174*  
 Women's Leadership Fund *130*  
 Women's Project and Productions, Inc. *74, 175*  
 Women's Venture Fund, Inc. *175*  
 Wooster Group, Inc. *74, 175*  
 Working Partnerships USA *58*  
 World Affairs Council of Northern California *147*  
 World Affairs Councils of America *63, 159*  
 World Bank *23*  
 World Music Institute, Inc. *74, 175*  
 World Press Institute *162*  
 World Security Institute *129*

## Y

Yale University *57, 130, 144*  
 YMCA of Greater New York *74, 175*  
 Yorkville Common Pantry *74, 175*  
 Young Audiences/New York, Inc. *74, 175*  
 Young Playwrights, Inc. *74, 175*  
 YPIS of Staten Island, Inc./New York Center  
     for International Development *175*

## Z

Zamen, Muhammad Qasim *156*





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